Research Data Management Procedure

Section 1 - Purpose and Scope

(1) This Procedure supports The University of Queensland's (UQ or the University) Research Data Management Policy and addresses the stewardship and management of research data.

(2) This Procedure applies to all UQ Researchers who use, collect, create, hold, and/or generate Research Data, irrespective of their work location; and to all Research Data regardless of format, subject to UQ's Legal Obligations.

(3) This Procedure must be read in conjunction with the following:

a. Research Data Management Policy
b. Information Governance and Management Framework
c. Information Management Policy
d. Information Security Classification Procedure
e. Data Handling Procedure
f. Privacy Policy and Privacy Management Procedure
g. Cyber Security Policy
h. Intellectual Property Policy and Intellectual Property Procedure

Section 2 - Key Controls

(4) All UQ projects must be assigned an Information Steward (typically the Lead Chief Investigator of the project) at the outset of each research project. For undergraduate and postgraduate research projects, the Information Steward is the UQ Principal Advisor and cannot be the HDR candidate or student.

(5) At the outset of a research project, the Information Steward must ensure that a research data management plan is created in UQ Research Data Manager (UQRDM).

(6) The Information Steward is responsible for maintaining the research data management plan during the lifecycle of the project.

Section 3 - Process and Key Requirements

Stewardship and Control of Research Data

(7) Each project's Information Steward is responsible for ensuring that a research data management plan is in place at the start of a research project in UQRDM, and for reviewing and updating the plan as appropriate, giving consideration to such matters as:

a. Authority to make decisions on storage, retention, access, and publication of research data or records;
b. Requirements from funders, data providers (e.g. third-party data), research partners and collaborators;

c. Arrangements for researchers changing institutions or withdrawing from collaborative projects;
d. Any Indigenous intellectual and cultural property rights for research involving Aboriginal and Torres Strait Islander peoples (in line with the AIATSIS Code of Ethics); and
e. UQ's Legal Obligations.

(8) A research data management plan must also document sensitivities such as:

a. Personal information (as defined in UQ's Privacy Policy) and information that may be considered personal information when linked to other information;
b. Sensitive cultural information (for example, sacred cultural practices);
c. Sensitive ecological information;
d. Information subject to export controls, as regulated by the Defence Trade Control Act;
e. Information on Security Sensitive Biological Agents (SSBAs), as regulated by the National Health Security Act; and/or
f. Commercial-in-confidence information.

Storage of Research Data

(9) The project's Information Steward is responsible for ensuring that the storage of research data complies with UQ's Legal Obligations. This includes classifying and storing research data in an appropriately backed-up and secure information system, with suitable controls to restrict access to authorised individuals, in accordance with UQ's Information Management Policy and Privacy Policy.

(10) UQ researchers are strongly encouraged to use UQRDM to facilitate the secure storage of their research data.

(11) HDR projects must be recorded in UQRDM, in accordance with the Higher Degree by Research Candidature Progression Procedure.

(12) Storage of third-party or pre-existing research data is subject to any restrictions or requirements from the dataset provider and must also be in accordance with UQ's Legal Obligations, ethical and funding body requirements.

(13) Certain types of research data with sensitivities, as described in clause 8, may also be subject to further restrictions. UQ researchers must comply with UQ requirements and the provisions of any relevant agreements in respect to the management of such data.

Retention and Disposal of Research Data

(14) The Information Steward is responsible for retaining UQ-generated research data in a durable and retrievable form, for at least as long as required by the relevant archives or records keeping legislation, national codes, contractual agreements, or funding body requirements, whichever is longer. (Refer to the University Sector Retention and Disposal Schedule for further information regarding minimum retention periods.)

(15) If the results from research are challenged during the minimum retention period, all relevant research data must be further retained at least until notification from the University that the matter is resolved. Research data that may be relevant to allegations of breaches of the Australian Code for the Responsible Conduct of Research and/or UQ policies and procedures must not be modified or destroyed.

(16) Subject to the retention periods noted in the preceding clauses:

a. Any disposal of UQ-generated research data must be conducted in compliance with the Public Records Act and any other retention requirements from research codes or contractual agreements.

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Access to and Transfer of Research Data

(17) Subject to UQ's Legal Obligations and any proposed commercialisation of intellectual property subsisting in or underpinned by particular research data, UQ researchers are encouraged to share their datasets using the UQ Research Data Manager (UQRDM) publishing workflow to promote use and reuse for further research.

(18) The Information Steward is responsible for granting or denying requests for access to UQ-generated research data from interested parties in compliance with relevant University policies and procedures, UQ's Legal Obligations, ethical obligations, and data that forms, constitutes, underpins or is subject to valuable intellectual property.

(19) UQ researchers using or accessing data subject to a confidentiality agreement or other obligation of confidentiality must maintain that confidentiality and must only use that data in compliance with the relevant agreement or other obligation of confidentiality. Any access to research data comprising of personal information must be in compliance with the Privacy Management Procedure.

(20) UQ researchers must ensure that any transfer of research data and records occurs with electronic or physical security controls to restrict access to authorised individuals. Controls must be appropriate to the level of sensitivity as defined by the Information Security Classification Procedure and the sensitivities outlined in clause 8.

(21) Researchers must uphold Indigenous Intellectual and Cultural Property rights in the management of research data, in line with the AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research.

(22) Documents in the possession, or under the control, of UQ are subject to the information access regimes set out under Queensland's Right to Information Act 2009 and Information Privacy Act 2009. In many cases this will include research data. Disclosure of such data under these Acts is typically limited by various exemptions and/or exceptions (for example, where the data is commercially valuable, subject to obligations of confidentiality, prejudicial to individuals' privacy, or comprises unpublished research).

Researchers Leaving the University

(23) Information Stewards departing from the University must ensure that an up-to-date research data management plan is recorded in UQRDM, and that the project's research data is stored in accordance with the provisions of the plan. Upon departure of the project's Information Steward, this data role is transferred to the Head of the Organisational Unit.

(24) Researchers leaving the University are permitted to retain an archive copy of research data generated through the course of their research for ongoing academic research purposes. This is subject to UQ Legal Obligations, sensitivities of the data, and funding requirements, that impose restrictions on the transfer and use of the data. Any ongoing use of retained archived research data that includes UQ Intellectual Property must be permitted by, and be in compliance with the Intellectual Property Policy and Procedure.

Breaches and Complaints

(25) Any actual or suspected data breaches must be reported as soon as possible either using UQ's cyber security website or by calling IT support (see Cyber Security Policy). Where the data comprises (or is likely to comprise) personal information, the breach should also be reported to UQ's Right to Information & Privacy Office.

(26) An infringement or violation of this Procedure, the Research Data Management Policy, or the Code, may arise where an individual fails to meet the principles and responsibilities set out in the Code in the context of management of research data, this Procedure, and/or the Research Data Management Policy. Examples of an infringement of this Procedure include, but are not limited to:

a. Falsification or fabrication of research data;

b. Breaches of privacy, confidentiality and/or secrecy;
c. Failure to retain clear, accurate and complete records of research data;
d. Failure to appropriately secure research data; and
e. Selective retention of research data in order to hinder the verifiability of research outputs.

(27) Potential infringement of the Research Data Management Policy, this Procedure, or the Code in the context of management of research data, will be dealt with in accordance with the Managing Complaints about the Conduct of Research Procedure (for staff), the Managing Complaints about the Conduct of Research - Higher Degree by Research Candidates Procedure (for HDR candidates), the Student Integrity and Misconduct Policy (for non-HDR students), and/or the Privacy Policy, as applicable.

Section 4 - Responsibilities and Accountabilities

The University of Queensland

(28) The University is responsible for providing facilities and processes for the safe and secure storage and management of research data

The Deputy Vice-Chancellor (Research and Innovation)

(29) The Deputy Vice-Chancellor (Research and Innovation) is responsible for the implementation and review of this Procedure and for providing strategic guidance for the management of research data.

Information Stewards

(30) The Information Steward is typically the Lead Chief Investigator of the research project, or the Principal Advisor for postgraduate and undergraduate research projects, and is responsible for the day-to-day management of research data. Upon departure of the project's Information Steward, this data role is transferred to the Head of the Organisational Unit.

(31) Information Stewards are responsible for:

a. Ensuring the creation and regular maintenance of a research data management plan in UQRDM,
b. The application of relevant legal, policy, security, confidentiality and privacy requirements,
c. Setting and/or endorsing an overall information security classification for the research project,
d. Ensuring that research data is consistently and accurately captured in the approved information system, and
e. Reviewing and approving/denying requests for access to UQ-generated research data.

Researchers

(32) Anyone using, collecting, creating or generating research data, irrespective of their work location, has the responsibility to manage research data effectively. This includes:

a. Retaining clear, accurate, secure and complete records of all research data,
b. Respecting any project-specific conditions of consent or confidentiality obligations,
c. Adhering to project-specific protocols that require measures beyond those required by institutional policy or relevant laws, regulations and guidelines, or research discipline-specific practices and standards,
d. Handling research data appropriately in line with UQ policies and procedures and any other legal or contractual requirements,
e. Acknowledging the use of third-party or pre-existing research data, and

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f. Reporting any actual or suspected data breaches to UQ's Information Technology Services and (where the breach is likely to comprise personal information) UQ's RTI & Privacy Office.

Section 5 - Monitoring, Review and Assurance

(33) The Deputy Vice-Chancellor (Research and Innovation) is responsible for the development and implementation of this Procedure and monitoring, review and assurance.

Section 6 - Recording and Reporting

(34) All University records shall be retained and disposed of in accordance with the University's Privacy Policy and Information Management Policy.

(35) Recording and reporting for research management and research integrity activities will be in accordance with their relevant policy and/or procedure.

Section 7 - Appendix

Definitions

Term	Definition
The Code	Australian Code for the Responsible Conduct of Research
Data breach	Loss of data, or the unauthorised access, disclosure or use of research data that compromises the security, confidentiality and/or privacy of that data.
Information Steward	As described in the Information Governance and Management Framework.
Lead Chief Investigator	The researcher with overall responsibility for the management of the research project.
Research Data	Includes all data used and held, created, collected and/or generated by researchers in the course of their research work, on which an argument, theory, test or hypothesis, or another research output is based, irrespective of the format of the data.. Research Data includes (but is not limited to) 'UQ-generated research data' as defined below.
Research Data Management Plan	A research data management plan documents how research data will be managed during and shared after the project. The plan includes a description of the project, detailed of data collection and analysis, ethics, ownership and intellectual property, storage plans and organisation of the data retention requirements and data sharing and publishing.
UQ-generated Research Data	Research data that is specifically created, collected and/or generated by UQ researchers. UQ-generated research data does not include third-party or pre-existing data.
UQ Researchers	Includes staff, Higher Degree by Research (HDR) candidates, visiting fellows and researchers, adjuncts, academic title holders and students of the University who conduct research including Scholarship of Teaching and Learning (SOTL) for the University.
UQ's Legal Obligations	The provisions of any relevant legislation or regulation the University is obliged to comply with, any codes, principles or guides the University seeks to comply with (including those referred to in the Research Data Management Policy and this procedure) and/or separate contract or agreement entered by the University with a third party and/or any other legal or equitable obligation otherwise owed by the University to a third party.

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