Materials Research Data Governance & Handling Policy

The UNSW *Research Data Governance & Materials Handling Policy* covers principles related to maintaining the integrity, security, quality, and proper usage of research

requirements

- Ensure that UNSW complies with applicable laws, regulations, and operational standards.

This Policy applies to:

- All UNSW researchers (including visiting and conjoint appointees), 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.

1.1.   Everyone responsible for research at UNSW must ensure that research data and materials, as well as registers of these data and materials, must be kept in a format, and for a period, that conforms to the requirements of the State Records Act 1998 (NSW), funding agency or publisher guidelines, or in accordance with discipline norms, whichever is the longer period. A table outlining minimum retention periods for the various classes of research data is at: https://www.unsw.edu.au/planning-assurance/records-archives/recordkeeping/destroying-records .

1.2.

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

- Always use appropriate research data security measures (see the UNSW Data Classification Standard[UNSW Data Handling Guidelines](#)) to ensure the safety, quality and integrity of UNSW's research data and materials.

- Store research data in an electronic format that is protected by appropriate electronic safeguards and/or physical access controls that restrict access only to authorised user(s), including research data in any UNSW or external data repository (databases etc.).

- Ensure research data and materials are always accessible and available during the life of a research project unless subject to confidentiality/security provisions. This policy applies to data in all formats (see [definitions](#) for examples of research data and materials).

- If research is undertaken in collaboration with other institutions, government agencies, or any third party, ensure that a written agreement is in place to cover research data and materials ownership, sharing, storage, accessibility, retention, and disposal.

4.1. People working on UNSW research projects must obtain relevant permits before shipping any research materials that have import/export restrictions in Australia. An importation permit, together with the appropriate packaging and labelling, will expedite the clearance of such packages through the Australian Quarantine Inspection Service (AQIS) and release by Australian Customs. Researchers must ensure that they meet the relevant Customs and AQIS or other requirements for the import and/or export of research material (for more details, see [RECS Export Controls](#)).

5.1. This policy applies the [UNSW Code of Conduct and Values](#) and the Australian Code for the Responsible Conduct of Research.

5.2. The Director, UNSW Conduct & Integrity may determine that non-compliance with any of the requirements of the policy or procedure may be dealth with as a breach of the [Code of Conduct and Values](#) or the Australian Code for the Responsible Conduct of Research in accordance with the [Complaints Management and Investigations Policy](#) and procedure.

6.1. Any staff member who requires assistance in understanding this policy and procedure should first consult their nominated supervisor who is responsible for the implementation and operation of these arrangements in their work area. Should further assistance be needed, the staff member should contact the Policy Lead for clarification.

17 July 2024	Deputy Vice-Chancellor Research and Enterprise (DVCRE)
Pro Vice-Chancellor (Research Infrastructure)	

approving a research project, including that there is sufficient space and resource to accommodate the research data and material.

- Heads of schools (or chief investigators or principal investigators) are responsible for maintaining a register of the establishment and ownership of databases containing confidential information within their school. Access to these databases must be restricted to researchers with approved involvement in specific research projects.
- Heads of schools (or chief investigators or principal investigators) are responsible for liaising with the Pro-Vice-Chancellor (Research Infrastructure) to ensure staff are trained on security of data and documentation.

2.7. : are responsible for the quality, integrity, implementation and enforcement of data management within their research project. Every research dataset may have one or more data steward

The Research Data Management Lifecycle refers to the process for planning, creating, managing, storing, implementing, protecting, improving and disposing of all institutional research data of UNSW.

This Policy supports the University's compliance with the following legislation:

- State Records Act 1998 (NSW)

- Code of Conduct and Values
- Complaints Management and Investigations Policy and Procedure
- Cyber Security Policy
- Cyber Security standards
- Data Governance Policy
- Data Classification Standard
- Privacy Policy and UNSW Privacy Management Plan
- Cold Storage Procedure
- Conflict of Interest Disclosure and Management Policy
- Information Security Management System
- Insider Trading Policy
- Intellectual Property Policy
- Paid Outside Work by Academic Staff Policy
- Radiation Research Safety Procedure
- Recordkeeping Policy
- Research Authorship and Publication Dispute Management Procedure

	• models, algorithms, scripts
	• photographs, films
	• protein or genetic sequences
	• questionnaires, transcripts, codebooks
	• references stored in management software (e.g. Zotero, Mendeley, Endnote)
	• responses to surveys or questionnaires
	• numerical or graphic results obtained as the output of simulations, modelling or any other software or as the result of analysis of experimental results
	• plant materials, cell/bacterial/viral samples or specimens
	• spectra
	• standard operating procedures and protocols
	• survey and test responses
	• 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.
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.
	Refers to the accuracy and consistency of data over their entire lifecycle.
	The senior executive team of the University.

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.

	Refers to the safety of University data in relation to the following criteria:
	Access control; Authentication; Effective incident detection, reporting and solution; Physical and virtual security; and change management and version control.