



Version	Approved by	Approval date	Effective date	Next full review
1.3	Director of Governance	25 February 2021	25 February 2021	April 2012
<b>Procedure Statement</b>				
<b>Purpose</b>	This procedure covers the procedures for handling primary research materials and research data.			
<b>Scope</b>	This Procedure applies to all researchers of UNSW, including visiting and conjoint appointees.			
<b>Are Local Documents on this subject permitted?</b>	<input type="checkbox"/> Yes, however Local Documents must not breach mandatory requirements in University-wide Codes of Conduct, Policies, Standards and Procedures.			<input type="checkbox"/> No
<b>Procedure Processes and Actions</b>				

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**1. INTRODUCTION**

- 1.1. Data underpinning research conducted at UNSW (including electronic data) must be recorded in a durable and appropriately referenced form.
- 1.2. Researchers must maintain a catalogue of all research data in an accessible form.
- 1.3. Research Material and data related to publications must be available for discussion with other researchers (unless confidentiality provisions apply).
- 1.4. Research data and materials remain the property of UNSW, unless subject to a third party agreement.

**2. RESPONSIBILITIES**

- 2.1. UNSW has formulated a [Privacy Policy](#) to comply with the **NSW Privacy and Personal Protection Act 1998**. Researchers are responsible for ensuring appropriate security for any confidential material.
- 2.2. Researchers are responsible for ensuring appropriate security for any confidential material, including that held in computing systems. Where computing systems are accessible through networks, particular attention to security of confidential data is required.

- 2.3. Heads of Schools 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 a research project.
- 2.4. 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.
- 2.5. Adequate records of the source of research material, experimental data and authorship must be maintained in a secure place after publication and must be recoverable should questions arise.

### 3. DATA STORAGE & RETENTION

- 3.1. Research material and data, and registers of that material and data, must be kept in a format, and for a period, that conforms to the requirements of the **NSW State Records Act**, 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.recordkeeping.unsw.edu.au/recordkeeping/research-records>.
- 3.2. Wherever possible, original data (and, where relevant, materials or samples) should be retained in the School or research unit in which they were generated. If required, individual researchers can hold copies of the data for their own use. Retention solely by the individual researcher is not permitted, as it may not protect the researcher or UNSW in the event that the veracity of the data is questioned.
  - 3.2.1. If the original data are retained by the researcher, the Head of School or Research Centre Director must be formally advised of its location and have the ability to access the data.
  - 3.2.2. Researchers should also give consideration as to whether specimens or samples should be retained in research repositories such as a specified Museum or the UNSW Herbarium.
  - 3.2.3. Where research material is not kept within the School, a written record of the location of data must be retained by the researcher and School.
- 3.3. At the end of a research project which has been hosted by UNSW, research data and materials remain the property of UNSW, unless subject to a third party agreement.
- 3.4. Where a researcher moves from UNSW, original data must remain at UNSW, otherwise written agreement must be reached with the new organisation covering ownership and storage of research data.
- 3.5. When research is carried out at multiple organisations, agreement must be reached in writing and these must clearly specify the principles of storage and retention of research data within each organisation.
- 3.6. When the data are obtained from limited access databases (or an external database), or via a contractual arrangement, written indication of the location of the original data, or key information regarding the database from which it was collected, must be retained by the researcher or School.

### 4. IMPORT AND EXPORT OF RESEARCH MATERIAL

- 4.1. Researchers must ensure that they meet the relevant Customs, Australian Quarantine Inspection Service (AQIS), or other requirements for the import and export of research material.

### 5. DATA ACCESSIBILITY

- 5.1. Data related to publications must be available for discussion with other researchers. Where confidentiality provisions apply (for example, where the researchers or the institution have given undertakings to third parties, such as the subjects of the research), it is desirable for data to be kept in a way such that reference to them by third parties can occur without breaching such confidentiality.

## 6. DISPOSAL OF RESEARCH DATA AND MATERIAL

- 6.1. When the specified period of retention has finished, researchers have a responsibility to dispose of research data in a secure and safe manner, and in accordance with the **UNSW Recordkeeping Policy**. Advice on proper disposal is available at:  
<https://www.recordkeeping.unsw.edu.au/recordkeeping/destroying-records>.

## 7. FAILURE TO HANDLE RESEARCH MATERIAL AND DATA AS BREACHES OF THE CODE

- 7.1. This Procedure forms part of the **UNSW Research Code of Conduct**.
- 7.2. The Director, UNSW Conduct & Integrity may determine that a breach of this Procedure may be dealt with as a Breach of the Research Code, or Research Misconduct.

<b>Accountabilities</b>	
<b>Responsible Officer</b>	Deputy Vice-Chancellor Research & Enterprise
<b>Contact Officer</b>	Director, Conduct & Integrity
<b>Supporting Information</b>	
<b>Legislative Compliance</b>	This Procedure supports the University's compliance with the following legislation: <i>Privacy and Personal Protection Act 1998 (NSW)</i> <i>State Records Act 1998 (NSW)</i>
<b>Parent Document (Policy)</b>	This procedure details actions pursuant to the UNSW Research Code of Conduct and the UNSW Code of Conduct
<b>Supporting Documents</b>	Nil
<b>Related Documents</b>	<a href="#">Intellectual Property Policy</a> <a href="#">Paid Outside Work by Academic Staff Policy</a> <a href="#">UNSW Register of Delegations</a> <a href="#">Conflict of Interest Disclosure and Management Policy</a> <a href="#">Insider Trading Policy</a> <a href="#">Recordkeeping Policy</a> <a href="#">Research Misconduct Procedure</a> <a href="#">Research Authorship and Publication Dispute Management Procedure</a> Statement of Authorship and Location of Data Form
<b>Superseded Documents</b>	Procedure for Handling Research Material & Data, version 1.2
<b>File Number</b>	2021/006062
<b>Definitions and Acronyms</b>	
<b>Research</b>	"original investigation undertaken to gain knowledge, understanding and insight." <sup>1</sup>
<b>Research Trainee</b>	Higher Degree Research student (PhD or Masters by Research) or early career researcher (postdoctoral research fellow or within 5 years of obtaining PhD).
<b>Researcher</b>	All UNSW staff, conjoint appointments, and visiting appointments undertaking research at UNSW, including staff classified as "professional and technical" and casual staff undertaking research.

<sup>1</sup> Australian Code for the Responsible Conduct of Research, page 1

<b>Revision History</b>				
<b>Version</b>	<b>Approved by</b>	<b>Approval date</b>	<b>Effective date</b>	<b>Sections modified</b>
Version 1.0 of this Procedure replaced the Code of Conduct for the Responsible Practice of Research approved by Academic Board on 2 March 2004 (AB04/21)				
1.0	UNSW Council (CL09/19)	27 April 2009	27 April 2009	This is a new procedure
1.1	Acting Head of Governance	29 February 2016	29 February 2016	Update to Contact and responsible Officers
1.2	Deputy Vice-Chancellor Academic	25 July 2017	15 August 2017	Administrative update to senior positions and template refresh
1.3	Director of Governance	25 February 2021	25 February 2021	Administrative updates section 2.1; 3.1 and 6.1. Update to senior titles section 7.1; Responsible Officer and Contact Officer to reflect WPC and functional C&I updates.