# POLICY ON RESEARCH DATA MANAGEMENT AND DATA PROTECTION




## UNIVERSITY OF CHILD HEALTH SCIENCES, LAHORE

| Policy on Research Data Management and Data Protection | |
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# POLICY ON RESEARCH DATA MANAGEMENT AND DATA PROTECTION

## Definitions

**Accessible:** access to research data and records by interested parties is enabled through defined processes. These processes may include authentication and authorization steps to restrict or mediate access to appropriate parties.

**Authentic:** research data and records are a true and accurate product or reflection of research processes with no attempts to falsify, mislead or obfuscate

**Curate:** to select, organize and present information in ways that support interpretation. Appropriate curation of research data and records is informed by accepted disciplinary practices and standards and will differ depending on the type of research data and records involved.

**Data management plan:** a document that outlines how research data and records will be managed through the course of a research project, including details such as project descriptions, software and systems being used, storage locations, security controls and retention arrangements.

**Facilities:** physical or virtual locations intended for a defined purpose. For the storage and management of research data and records, this may consist of a combination of physical space, equipment, hardware, software and the resources required to support these.

**Findable:** the research data or records are discoverable to interested and authorized parties for reuse. Characteristics of findable research data or records include assigning meta data that describes the content of the research data or records, attaching a persistent identifier such as a Digital Object Identifier (DOI) and indexing/making the data searchable through disciplinary portals.

**Interested parties:** any parties who are seeking access to research data this may be for the purposes of academic review, ethical or compliance review, or data reuse for further research.

**Interoperable:** the research data or records can be effectively integrated with other data or be utilized by different applications or workflows (such as for analysis, storage or processing). To achieve this, community-agreed, published standards are used within and to describe the research data and records.

**Mediated access:** access that is determined on a case-by-case basis by an individual responsible for the data, who is able to assess the value and risk associated with data sharing.

**Metadata:** information that provides contextual details or defining characteristics about data. Meaningful metadata is dependent on the type of research data it is describing,

allowing data to be interpreted accurately and appropriately. Metadata may describe, for example, where the data originated, how the data was generated and processed, when the data was collected and by whom.

**Ownership:** the legal or moral rights that gives individuals, groups or organizations the authority to determine storage, retention, disposal, publication or licensing arrangements.

**Personal information:** any information regarding an individual whose identity can be ascertained from that information.

**Research data:** any information, facts or observations that have been collected, recorded or used during the research process for the purpose of substantiating research findings. Research data may exist in digital, analogue or combined forms and such data may be numerical, descriptive or visual, raw or processed, analyzed or unanalyzed, experimental, observational or machine generated. Examples of research data include: documents, spreadsheets, audio and video recordings, transcripts, databases, images, field notebooks, diaries, process journals, artworks, compositions, laboratory notebooks, algorithms, scripts, survey responses and questionnaires.

**Research record:** documents containing information of any kind and in any form created or received by an organization or person for use in the course of their research. Records often validate the provenance, authenticity and ethical collection of research data. Records associated with the research process include correspondence, grant applications, ethics applications, authorship agreements, technical reports, research reports, laboratory notebooks or research journals, master lists, signed consent forms, and information sheets for research participants.

**Research student:** any student involved in conducting research under the auspices of the University of Melbourne. This includes graduate researchers and course work students enrolled at the University of Melbourne, and visiting students enrolled with other institutions.

**Researcher:** any individual involved in conducting research under the auspices of the University of Melbourne who is not a research student. This includes staff, honorary staff and visiting researchers.

**Retention:** the long-terms to rage of research data and records after the completion of a research activity/project, for the purposes of meeting legal obligations or other purposes.

**Reusable:** being able to be utilized by others for replication of research findings or additional research applications, such as linkage with other data. This can be achieved by having standard data usage licenses, provenance information and the use of domain-relevant community standards used throughout the research data and records.

## 1. Objectives

The objectives of this policy are to:

a. Preserve the value of research data and records for researchers, research students, research participants, the University and wider community by defining expected standards for their management; and

b. Facilitate effective research practices.

## 2. Scope

2.1. This policy applies to:

a. Research data and records generated during research undertaken by University of Child Health Sciences Lahore (UCHS) researchers and research students.

b. Research data and records in any form, including digital formats, paper formats and other physical materials.

2.2. This policy does not apply to:

Research where responsibility for data has been allocated to a third party through a written agreement.

## 3. Authority

This policy is prepared under Section 46(1) of UCHS Act 2021.

## 4. Policy

**4.1. Researchers and the University are responsible for ensuring that research data and records are:**

a. Accurate, complete and authentic

b. Understandable, retrievable and accessible, for as long as is required

c. Safe and secure

d. Compliant with ethical and legal obligations

**4.2. Failure to comply with this policy may:**

a. Lead to researchers or the University being held legally responsible for breaches of legislation.

b. Be considered a breach and be investigated in line with the Guide to Managing and Investigating Potential Breaches of the Code for the Responsible Conduct of Research.

c. Be handled in line with the Appropriate Workplace Behaviour Policy

## 5. Principles

### 5.1. Ownership, Responsibility and Control

5.1.1. Researchers must ensure that ownership of and responsibility for

research data and records is identified and documented at the start of a research project and reviewed and updated as appropriate, with consideration given to:

a. Authority to decide on storage, retention, disposal, publication or licensing of research data or records
b. Research data ownership as outlined by the Intellectual Property Policy
c. Agreements with funders, data providers, research partners and collaborators
d. Arrangements for researchers changing institutions or withdrawing from collaborative projects
e. Any Indigenous intellectual and cultural property rights, for research

5.1.2. Researchers must ensure that the University has a record of ownership and responsibility for any research data and records they have transferred into the University's control (e.g., for storage on university facilities).

a. Where no ownership or responsibility has been recorded, or the recorded responsible party is no longer a UCHS researcher, the relevant Dean or delegate will hold authority to decide on storage, retention, disposal, publication or licensing arrangements in compliance with legal and regulatory obligations.

## 5.2. Storage, Retention and Disposal

5.2.1. Researchers must curate and store accurate, complete and authentic research data and records in formats that are understandable, retrievable and accessible to appropriate parties.

a. Meta data should be stored with research data and records to support interpretation, authenticity and reproducibility.
b. Where it is not practical to store physical research data and records, durable records documenting or derived from them should be stored in digital formats.

5.2.2. The University must provide facilities, advisory services and resources for the safe and secure storage and management of research data and records, to support researchers in complying with their ethical and legal obligations.

5.2.3. When not using University-provided facilities, researchers must ensure that processes and facilities used for the storage and management of research data and records comply with ethical and legal obligations. Where researchers are unsure of their ethical and legal obligations, they should consult with ORIC at the University.

5.2.4. Researchers must ensure that research data and records are retained and disposed of in line with the Records Management Policy.

5.2.5. Researchers are encouraged to deposit research data and records into suitable University facilities at the conclusion of a research activity/project, to support the meeting of retention obligations. Where research data and records are already stored on University facilities, researchers must ensure that the research activity's completion is recorded in University registers/research management systems to allow for appropriate retention and disposal.

5.2.6. Researchers leaving the University should ensure that a copy of their research data and records has been deposited into University facilities to support research integrity and retention obligations, as consistent with ethical, contractual or legislative requirements.

## 5.3. Safety and Security

5.3.1. Researchers must ensure the safe and secure management of research data and records to comply with ethical and legal obligations over the life of the research data and records, with consideration given to research data and records with sensitivities, including:

a. Personal information subject to privacy legislation, including information that may be considered personal information when linked with other information
b. Sensitive cultural information, e.g., on sacred cultural practices
c. Sensitive ecological information, e.g., the location of vulnerable species
d. Information subject to export controls
e. Information on security sensitive biological agents (SSBAs)
f. Commercial-in-confidence information

5.3.2. Researchers should document plans for the safe and secure management of research data and records, and ensure all authorized individuals with access follow documented plans.

5.3.3. Researchers must ensure that research data and records are transferred and stored with electronic or physical security controls to restrict access to authorized individuals. Controls must be appropriate to the level of sensitivity.

5.3.4. The University must ensure that facilities provided for the storage and management of research data and records meet legal and technical requirements as per Information Security Policy.

5.3.5. The University must assess University facilities, to support researchers in determining which facilities are suitable for research data of different sensitivity levels. When utilizing suitable University facilities, the safe and secure management of research data is a joint responsibility between researchers and the University.

5.3.6. Researchers must manage personal information in line with the Privacy Policy.

## 5.4. Access by Interested Parties

5.4.1. When making research data or records available to interested parties, consideration should be given to:

a. Data ownership, e.g., intellectual property rights, Indigenous intellectual and cultural property rights

b. Agreements with funders, research partners, data providers or publishers

c. Meeting ethical and legal obligations, e.g., preserving privacy, intended use and consent for use of data at the time of collection

d. Ensuring safety and security, e.g., through agreements with interested parties that define required controls

5.4.2. Researchers must make available any research data and records substantiating research findings to enable academic discussion or evaluation of research outputs, unless prevented by ethical or legal obligations. Where research data or records have been requested and access refused, the reasons must be transparent and justifiable.

5.4.3. Researchers are encouraged to publish research data and records to disciplinary, institutional or other established repositories to allow reuse by other researchers and maximize the value of research, unless prevented by ethical or legal obligations.

a. Where ethical or legal limitations apply, researchers should consider if mediated access or sharing of a limited subset is possible

b. Researchers should publish research data in formats that meet disciplinary standards, as well as being findable, accessible, interoperable and reusable.

c. Researchers should consider applying the least restrictive licensing option that is appropriate for governing the future use of their published research data

## 5.5. Research Students

5.5.1. The same procedural principles out lined above for researchers also apply to research students, with the exception that all responsibilities are jointly held by research students and their supervisors:

a. Supervisors must provide guidance and mentorship to research students on appropriate management of research data and records for their field of research.

b. Research students and supervisors must agree on and document arrangements for the management of research data and records at the start of a research project, including plans for how research

data and records will be managed following thesis/article/dissertation submission. These arrangements should take the form of a Data Management Plan which is reviewed and updated as appropriate.

## 6. Roles and Responsibilities

| Role/Decision/Action | Responsibility |
|---|---|
| ➢ Ensure research data and records are accurate, complete and authentic<br>➢ Ensure research data and records are understandable, retrievable and accessible to appropriate parties<br>➢ Store research data and records safely and securely<br>➢ Comply with ethical and legal obligations when managing research data and records<br>➢ Determine appropriate sharing, publication and licensing arrangements for research data and records | ➢ Researchers<br>➢ Research students jointly with their supervisors |
| ➢ Approve the auctioning of storage, retention, disposal, publication or licensing arrangements for research data and records without a recorded and current responsible researcher | ➢ Dean of Faculty/Principal/DME |
| ➢ Provide facilities, advisory services and resources to support researchers in meeting their responsibilities outlined by this policy, including the curation, storage, retention, sharing and publication of research data and records<br>➢ Ensure that facilities provided for the storage and management of research data are compliant with legal and regulatory requirements | ➢ University |
| ➢ Approve and implement processes and training that support this policy | ➢ Director ORIC (or a person designated by Vice Chancellor) |
| ➢ Monitor compliance with this policy and supporting processes | ➢ Director ORIC (or a person designated by Vice Chancellor) |