

## Research Data Management Policy

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<b>Approval Authority   Mana Whakaae</b>	Deputy Vice-Chancellor (Research & Innovation)
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### Introduction | Kupu Whakataki

Te Whare Wānanga o Waitaha | University of Canterbury (UC) takes pride in the wealth of research data which its academic community produces and wishes to ensure the widest possible access to its world-class research. The value and utility of research outputs increases the more broadly they are available and used by others. Access for everyone in any location to UC's preserved and shared research data will also help to highlight the excellence of its research. However, we recognise that not all data should be openly available to everyone, at all times.

### Purpose

The purpose of this policy is to ensure that research data are stored, retained, made accessible for use and reuse, and/or disposed of according to the legal, statutory, ethical, funding body, UC and/or government requirements. It is essential for enabling and safeguarding the longevity and continuing intelligibility of data, and for ensuring that sensitive data is handled in compliance with all relevant ethical and legal requirements.

### Definitions | Tautuhinga

**CARE:** The [CARE Principles](#) are people and purpose-oriented and reflect the crucial role of data in advancing Indigenous innovation and self-determination. Developed by the Global Indigenous Data Alliance, these principles enable the consideration of **Collective benefit**, **Authority to control**, **Responsibility** and **Ethics** in working with research data.

**Data Management Plan (DMP):** A plan that describes the research data that will be collected and its data classification; the legal, ethical, data sovereignty and commercial constraints relating to research data; how the research data will be organised and managed; the research data management roles, responsibilities, governance and access

arrangements; how research data will be stored, shared and returned, retained, deleted and/or destroyed (as appropriate). The DMP is updated and revised as a project develops.

**FAIR:** The [FAIR Principles](#) are that data should be **Findable, Accessible, Interoperable, and Reusable**. FAIR Principles support knowledge discovery and integration by humans and machines and promote sharing and reuse of data. They can be applied across multiple disciplines.

**Māori data:** Digital or digitisable information or knowledge (including mātauranga Māori) that is about, from or connected to Māori. It includes data about population, place, culture and environment.<sup>1</sup>

**Principal Investigator:** The lead Researcher for a research project who makes final decisions on funding, expenditures and reporting on a given research project.

**Research Data:** Refers to information that is collected, produced or obtained that supports the answer to a research question and is used to validate the research findings. This comes in many forms (e.g., digital, print, physical, metadata etc.). Research data may be numerical, descriptive, audio-visual or tactile. It may be raw, cleaned or processed, and may be held in any format or media. It includes digital and hardcopy data; materials, specimens, and samples; code, scripts and software; research and field notebooks.

**Research Student** – a student enrolled in a programme of study that includes a thesis of 90 points or more.

**Researchers** – Students and staff who are producing research data on behalf of the University of Canterbury.

**Sensitive / Special data** – See definition in the [Information Classification and Protection Standard](#) (Staff Intranet) and research examples in [Data Classification](#).

**Senior Supervisor** – the lead supervisor on a supervisory team who takes overall responsibility for the provision of academic advice and assistance to the Research Student and completes all administrative responsibilities on behalf of the supervisory team (e.g., progress reporting).

**Staff or Staff Member** – for the purposes of this policy, the definition of “staff” or “staff member” extends to cover all persons working at, for, or on behalf of, the University (whether paid or unpaid), including but not limited to, contractors, subcontractors and their employees, adjunct appointees, Erskine visitors, consultants, official research visitors, guest lecturers, interns and volunteers. It also includes members of Council.

## Scope

This policy applies to all Researchers who conduct research, and access, use, or are involved in the creation and management of research data.

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<sup>1</sup> For definitions of Māori data, see Te Kāhui Raraunga (2021a) and Te Mana Raraunga (2018).

This Policy does not apply to any corporate information, records and data which are created, received, and managed by the University in the conduct of its non-research business. Corporate information, records and data is governed by the Information, Records and Data Policy.

## Policy Statement | Kaupapa Here

This policy helps to ensure that Research Data is managed in ways that are consistent with:

- International standards for **FAIR** data and open research that are increasingly required by funders, data providers and publishers,
- How the University collects, manages, accesses, and uses Māori data will demonstrate a commitment to partnership and cultural competence, informed by [Māori data](#) guidelines.
- The **CARE** principles for the governance of indigenous data, including Pacific data.
- Relevant statutory, contractual, privacy, ethical and trusted research protective security requirements for Research Data, as well as the protection of UC's commercial interests.

### 1. Responsibilities of UC

- 1.1. UC is responsible for providing:
  - a) Support, advice and information to Researchers on all aspects of Research Data management.
  - b) Suitable infrastructure and services to facilitate the appropriate management of Research Data.
  - c) Relevant training to promote good practice in Research Data management.
- 1.2. To support and enable this policy, UC is committed to engaging on an on-going basis with Researchers to fulfil the mutual responsibilities described herein. This engagement will help ensure that the research data management services and infrastructure capabilities it provides are adequate and fit for the purpose of supporting Researchers' on-going compliance with the policy.

### 2. Responsibilities of the Researcher

- 2.1. Researchers will protect Research Data in accordance with legal and ethical requirements related to the research they conduct. This protection will ensure that legal, ethical, privacy, data sovereignty, protective security and commercial constraints relating to research data are considered prior to data collection and adhered to throughout the research data lifecycle.
- 2.2. Researchers will ensure Research Data is accompanied by appropriate metadata to enable the application of FAIR, CARE and indigenous sovereignty principles alongside UC's Information Classification and Protection Standard.
- 2.3. The Researcher is responsible for preparing Data Management Plans for their research.

### **3. Responsibilities of the Principal Investigator**

- 3.1. Principal Investigators hold overall responsibility for the effective management of Research Data generated within or obtained from their research, including by their research groups. This shall include understanding and complying with the requirements of any relevant contracts with, or grants to, UC that include provisions regarding the ownership, preservation and dissemination of research data.
- 3.2. Principal Investigators will establish and maintain clear roles and responsibilities for the management of Research Data within their research project or group.

### **4. Responsibilities of the Senior Supervisor**

- 4.1. Senior Supervisors are responsible for ensuring students are familiar with this policy and advising the Research Student regarding the application of this policy for student research projects.
- 4.2. It is the responsibility of the Senior Supervisor to ensure that the student prepares and updates a Data Management Plan where required under this policy, ensuring that intellectual property, research data ownership rights, licensing arrangements and custodianship responsibilities are clearly stated prior to the collection of the Research Data.

### **5. Data Management Plans**

- 5.1. Data Management Plans will be prepared and updated for:
  - a) Research data classified as Sensitive or Special
  - b) Thesis research of 90 points or more.
  - c) All funded research.
  - d) Where required by any Research Data provider or other external party.
- 5.2. Data Management Plans should contain an accurate and comprehensive record of the research and are reviewed and updated as appropriate. UC maintains [Data Management Plan Standards](#) to facilitate Research Data Management best practices.
- 5.3. When leaving UC and as part of exit planning, Researchers must ensure custodianship of their data is transferred to an appropriate person. In order of authority, this would be the Principal or Senior Supervisor, the Head of Department / School or Institute Director, the faculty Associate Dean of Research and ultimately the Deputy Vice-Chancellor Research. Researchers will need to arrange with the appropriate person if they require continued access to their Research Data after leaving UC. See the Research Conduct Policy for further information.

## 6. Breach of Policy

- 6.1. Non-compliance with this Policy may equate to misconduct or serious misconduct, depending on the circumstances.
- 6.2. Non-compliance by Staff may be dealt with in accordance with the Employee Disciplinary Policy (if the breach involves a University employee) or as deemed appropriate by the University.
- 6.3. Non-compliance by students may be dealt with as deemed appropriate by the University.
- 6.4. Non-compliance of this Policy must be reported in order of authority, to the supervisor, the Head of Department / School, Institute Director, and ultimately by the faculty Associate Dean of Research.

## Related Documents and Information | He kōrero anō

### UC Policy Library | Te Pātaka Kaupapa Here

[Human Research Ethics Policy – Research Involving Human Participants](#)

[Information, Records and Data Policy](#)

[Intellectual Property Policy](#)

[Privacy Policy](#)

[Research Conduct Policy](#)

[Research Student Supervision Policy](#)

### UC Website and Intranet | Te Pae Tukutuku me te Ipurangi o UC

[Data Management Plan Standards](#)

[eResearch at UC | University of Canterbury](#)

[Information Classification and Protection Standard \(Staff Intranet\)](#)

[Open Access - 5. Publish & Share - Subject Guides at University of Canterbury \(libguides.com\)](#)

[Research Data Management - 1. Plan your Research - Subject Guides at University of Canterbury \(libguides.com\)](#)

[Research & Innovation Intranet – Research Contracts Support \(Staff Intranet\)](#)

[Research & Innovation Intranet – IP & Commercialisation \(Staff Intranet\)](#)

[Data Classification | University of Canterbury](#)

[Māori Data | University of Canterbury](#)

**External | Mōwaho**

[Research Charter for Aotearoa New Zealand](#)

[Open Research policy | Ministry of Business, Innovation & Employment](#)

[Trusted Research Guidance for Institutions and Researchers](#)

[CARE Principles — Global Indigenous Data Alliance \(gida-global.org\)](#)

[The FAIR Guiding Principles for scientific data management and stewardship | Scientific Data \(nature.com\)](#)

[Te Kāhui Raraunga | Data ILG \(kahuiraraunga.io\)](#)

[Te Mana Raraunga](#)

**This policy remains in force until it is updated.**

<b>Document History and Version Control</b>			
<b>Version</b>	<b>Action</b>	<b>Approval Authority</b>	<b>Action Date</b>
1.0	New Policy	DVC (Research & Innovation)	Feb 2025
1.1	Minor updates	Policy Unit	Jan 2026