

RECORD RETENTION OBLIGATIONS OF RESEARCH STUDENTS AND STAFF - GUIDELINES

Document Name	ACAP_1_A_GUI_Records_Res_Stud_181012	
Date of Next Review	24 September 2018	
Approved by	Dean	24 September 2015
Responsible Person	Dean	
Related Documents	Records Management Policy- Record Retention and Disposal Procedure and Schedule; Record Disposal Authorisation Form, Research at ACAP Introductory Guide (Research Data and Records); ACAP Code of Practice (Records & Archives); Navitas Privacy Policy.	
References and Legislation	Australian Code for the Responsible Conduct of Research 2007 (C'with) (the Code), 'Section 2: Management of Research Data and Primary Materials'. Other relevant Acts and legislative requirements including the Guidelines under Section 95 of the Federal Privacy Act 1988 and the NSW Privacy and Personal Information Protection Act, 1998 (refer to ACAP Code of Practice). Higher Education Support Act 2003; Tertiary Education Quality and Standards Agency Act 2011; National Vocational Education and Training Regulator Act 2011; Education Services for Overseas Students (ESOS) Act 2000 and National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2018; and associated Commonwealth and State legislation; Australian Qualifications Framework.	

1. Purpose:

The College, in managing the retention, storage and disposal of research data, primary materials and research records, is committed to ensuring staff and students engaged in research understand their individual obligations and good practice in relation to their storage and disposal of research records and other associated research materials, consistent with the Australian Code for the Responsible Conduct of Research 2007 (C'with) ('the Code'), 'Section 2: Management of Research Data and Primary Materials'.

2. Scope:

This applies to all disciplines.

3. Definitions:

Term	Definition
<i>Academic staff / teaching staff</i>	Permanent and casual employees engaged in teaching and assessment of courses at the institution.
<i>College (the)</i>	The Australian College of Applied Psychology (ACAP).
<i>Destruction</i>	The irreversible physical obliteration of all existing copies of data carried out using appropriate methods such as shredding

Term	Definition
	or pulping or in the case of electronic data ensuring data is unreadable.
<i>Disposal</i>	Destruction of data including transfer of custody or ownership of data.
<i>International student/ Overseas student</i>	A student required to hold a student visa for study in Australia.
<i>Research Data</i>	The data, records, files or other information that comprise a research project's observations, findings or outcomes, including primary materials and analysed data.
<i>Research Records</i>	Information created, received, used or maintained as evidence of, or information about, the decision-making related to research activities in print, digital or physical forms.
<i>Researchers</i>	All College staff, students and adjuncts engaged in research through the College.
<i>Retention</i>	The process of retaining research data according to the periods specified in the Code and archives and records legislation.
<i>Third party research data</i>	Any kind of research data that is owned by another researcher, individual or entity that is being used for different research purposes from that for which it was originally created, or that is being used by researchers other than the owner.
<i>Unit</i>	A unit of study in a higher education course or a unit of study, module and/or unit of competency in a vocational education and training course.

4. Guidelines

These guidelines serve as a guide for research staff and staff engaged in research and supervising research students, in relation to their individual obligations and good practice regarding the retention, storage and disposal of research records and associated materials. These guidelines serve as a guide. They do not constitute legal advice.

4.1 Retention

Research data, primary materials and research records must be retained in an accessible form in accordance with the provisions and minimum retention periods set out in Section 2 of the Code, namely: 5 years from date of publication of research data and; 12 months from completion of short-term student research projects undertaken for the purpose of assessment only. In circumstances where work has community or heritage value, research data should be kept permanently, preferably within a national collection.

Principal researchers and research students (in consultation with their research supervisors) must ensure that sufficient data and primary materials are retained to justify the outcomes of research, and if necessary, defend them against challenge.

Research data and primary materials must be retained for sufficient time to allow reference to them by other researchers and interested parties. For published research data, this may be for as long as interest and discussion persist following publication.

Researchers working with human participants must seek informed consent from all participants to retain and re-use research data and primary materials for research and education purposes.

4.2 Storage

The College recommends that wherever possible and appropriate research data, primary materials and research records should be stored safely and securely in a method appropriate for the format of that data in the principal researcher’s department or other appropriate College repository.

Researchers are permitted to hold copies of the research data for their own use. Arrangements for material held in other locations must be documented.

In projects that span several institutions, an agreement should be developed at the outset covering the storage of research data and primary materials within each institution.

4.3 Disposal

Authorization should be sought from the College, prior to secure and safe disposal of research data, primary materials and research records when specified period for retention has ended.

Disposal and destruction of research data must involve methods to ensure that the data is no longer usable. It is particularly critical that confidential or sensitive data remains unreadable and cannot be recreated.

4.4 Digital Data

Deleting files may not be sufficient to destroy the data. It may be necessary to utilize software which permanently erases the data. Assistance may be sought from the College IT Help Desk Services.

4.5 Non-Digital Data

Non-digital data should be physically destroyed using appropriate methods which are as secure and environmentally friendly as possible. Physical records must not be discarded using paper recycle bins or ordinary waste bins. Secure destruction services should be employed for the destruction of physical records, including paper and digital media such as CDs, DVDs and other media formats.

The principal researcher must notify the Human Research Ethics Committee secretary in a timely manner when research materials have been properly disposed.

5. Document Management Control

Date	Summary of Changes	Reviewer Name and Department/Office
24/09/2015	Guidelines established	Dean
25/01/2016	Minor template technical amendments	Dean
12/10/2018	Change of template	VET Compliance Manager