



# ANDS and the Code for the Responsible Conduct of Research

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## Outline

- What is ANDS
- The *Code*
- Responses to the *Code*
- Researchers and the *Code*

## What is ANDS?

- An initiative of the Australian Government being conducted as part of the National Collaborative Research Infrastructure Strategy (NCRIS) and the Education Innovation Framework (EIF)
- A collaboration between Monash University, the Australian National University and CSIRO
- Ran an establishment project in 2008, fully operational since January 2009

## Why might an institution care about ANDS?

- Research has become more data intensive → data management
- Data is increasingly a research output, rather than a research by-product → data infrastructure
- Excellence in research is correlated with size of effort and with data outputs → data preservation
- Effective response to the *Australian Code for the Responsible Conduct of Research* may be best done collectively

# Australian Code for the Responsible Conduct of Research

- It describes the responsibilities of institutions and researchers in the management of research data and primary materials
- Institutions are to retain research data, provide secure data storage, identify ownership, and ensure security and confidentiality of research data
- Researchers are to retain research data and primary materials, manage storage of research data and primary materials, maintain confidentiality of research data and primary materials

[http://www.nhmrc.gov.au/publications/synopses/\\_files/r39.pdf](http://www.nhmrc.gov.au/publications/synopses/_files/r39.pdf)

The *Code* is not currently being enforced, however all universities are signatories.

## ANDS and the Code

- The *Code* makes significant references to research data and responsibilities related to it
- ANDS has conducted fora on institutional responses to the data aspects of the *Code* -  
<http://ands.org.au/news/codeforums.html>

## First steps in responding to the *Code*

- Activities provided as a basis for assessing the readiness and capability of the institution (as opposed to the individual researcher) to respond to the *Code*:
  - an assessment of institutional commitment and priorities
  - a review of all existing relevant policies and responsibilities, especially information management policies, practices, planning and responsibilities
  - a review of data storage capacity, including possible use of cloud services
  - an assessment of capability of individual researchers to respond to the *Code*, through, for example, a survey of data management practices
  - an audit of data currently held within the institution
  - consideration of the financial implications.

# The policy response to the *Code*

Institutions already have policies and procedures covering research, records management, intellectual property and other research-related activities. In responding to the *Code*, however, institutions may find it necessary to review all relevant policies to ensure that they align with the *Code* and with each other. These include:

1. Intellectual property — covering copyright, moral rights, patents
2. Data management, including:
  1. Storage — how to provide appropriate storage and under what conditions
  2. Retention — how long data is to be stored
  3. Disposal — how this is to be recorded and managed
  4. Access — how to make data available to those engaged in the research project; how data is to be “published” and made available more widely; how the institution is to keep a record of its data assets; the institutional position on open access of both data and publications
3. Conflict of interest — do all parties have the same understanding about the use of the data

## More on the policy response

4. Collaboration and contractual agreements — do these include provision for data sharing after the research is complete and agreement on who will host and store the data
5. Ethics and privacy — how these affect of the length of data storage and the ability to share
6. Compliance — what measures are in place to track this.
7. Each of these needs to be considered in terms of both institutional and researcher responsibilities. Not all are specific to data management, but each should have a data management component and requires a procedure translating policy into practice.

## Key considerations

- Recognising that the *Code* is about culture change as well as research practice.
- Ensuring an appropriate governance framework with representation from all interested parts of the institution — research office, library, IT, archives & researchers.
- Ensuring buy-in from senior academic administrators.
- Providing both data management infrastructure and services to support compliance.

## The Strategic Response to the *Code*

- Once an appropriate policy framework is in place, there will be a need to develop strategies to cover:
  - publicising the policies within the community
  - providing appropriate infrastructure to support researcher requirements and training in data management and use of infrastructure
  - establishing support services related to the infrastructure
  - establishing record-keeping procedures
  - demonstrating compliance through review or audit frameworks.

# Why should researchers care – and why not?

- The Code requires them to
- The role of data citation
- The changing nature of research

.. but the costs often outweigh the benefits, so ANDS needs to help change the equation

## To enable the change:

- Shared desire to change
- Professional services – research data analysts, research data carers, professional programmers
- Change partners such as ARCS, ANDS, eResearch orgs.
- Changed status of research data

*So how do we plan to do this?*

## ANDS engagements

- Our role is to help researchers and institutions achieve their research data ambitions whilst creating the research data commons
- Our model is to partner at the institutional level and through local partners
- We don't have “best practice” to distribute, but we are sharing good practice
- Data Management works best when the research office, the library/archives and ITS work together to meet mutually desired outcomes

## What do researchers get?

- Locally managed data in a repository
  - Meets required practice, and enables personal re-use
- Persistently identified data
  - Enables data to be a first class research output
- Explorable data
  - Enables data to be explored in the context of the research group, the institute, the collection, the research project
  - A rich discovery environment

Thank you for your attention

Questions?

Contact ANDS via:

<http://www.ands.org.au/contact.html>

ANDS Code Resources:

<http://www.ands.org.au/resource/code.html>