

Appendix 2 – Custodianship Model for Research Data and Information

JCU has implemented a custodianship model that articulates key roles and responsibilities for the management of research assets throughout its lifecycle, for further information refer to the [Management of Data and Information in Research Procedure](#).

These roles include:

- Data Creator
- Data Manager
- Data Custodian

The **Data Creator** and **Data Manager** roles have been embedded into [Research Data JCU](#) (JCU's research data management platform) as there are specific “custodian responsibilities” required.

In addition to the custodian roles in [Research Data JCU](#), the project team with direct association to the research data and information must be identified as they have “process responsibilities”, these roles include:

- Lead Investigator (Researcher)
- Other Data Creators (Researcher)
- Data Manager
- Record Administrator
- Data Collaborator (Researcher)
- Advisors

Table 1: lists the custodianship roles (as referenced in the Management of Data and Information in Research Procedure), versus the roles in [Research Data JCU](#).

| Custodianship Roles | Research Data JCU Roles | Notes |
|----------------------------|---|---|
| Data Creator (Researcher) | Lead Investigator Other Data Creators Data Collaborator | Data Creator(s) are researchers on the research project. Depending on the size of the research project there may be multiple data creators on one (1) project. Therefore, there are several different roles (in Research Data JCU) as a Data Creator (custodian role) can be a Lead Investigator, Other Data Creators and Data Collaborators (system process roles). |
| Data Manager | Data Manager | |
| Custodian | Nil | |
| nil | Record Administrator | |
| nil | Advisors | |
| | | |

Table 2: lists the roles and responsibilities under the Custodianship and [Research Data JCU](#) and gives an overview of what each role is responsible for.

| Role | Who is Responsible | Type of Responsibility | Details |
|----------------|---|---|--|
| Data Custodian | College Dean or Dean of Research or Centre Director or Institute Director | Custodianship Responsibility | <p>A Data Custodian is the person who provides strategic guidance regarding the quality, security, integrity, accuracy, consistency, privacy, confidentiality and accessibility throughout the lifecycle of the research asset.</p> <p>A Data Custodian is the person who has overall custody of and is entrusted with research assets throughout its lifecycle. Their overall responsibilities include:</p> <ul style="list-style-type: none"> ensuring good records management practices are followed; managing and maintaining data and information, including metadata, to ensure that discovery mechanisms function; managing escalated risks related to research data and information through the University's risk management processes, monitoring and responding to performance measures and Upon staff departure (i.e Data Manager) ensuring Data Manager role responsibilities are assigned to appropriate delegate to manage research assets. |
| Data Manager | Lead Investigator (typically) <i>For HDR projects ONLY: Primary Advisor</i> | Custodianship Responsibility | <p>A Data Manager is the person who is responsible for applying relevant policies, procedures and rules, including safeguarding the research assets from unauthorised access and misuse. Their overall responsibilities include:</p> <ul style="list-style-type: none"> the application of relevant legal, policy and standards requirements, the application of security, confidentiality and privacy requirements, ensuring good records management practices are followed; managing and maintaining data and information, including metadata, to ensure that discovery mechanisms function; managing escalated risks related to research data and information through the University's risk management processes and monitoring and responding to performance measures. |
| Data Creator | JCU Staff Member (i.e Lead Investigator, Other Data Creators, Data Collaborator (internal) and Advisor) External researcher (Data Collaborator) | Custodianship Responsibility | <p>A researcher is responsible for;</p> <ul style="list-style-type: none"> Accurately capturing / generating data and information in line with legislation, policy and standards Complying with all data and information governance policies, procedures, processes and rules and Seeking advice on data and information requirements and providing feedback to the Data Manager |

| Role | Who is Responsible | Type of Responsibility | Details |
|----------------------|--|-------------------------------|--|
| Lead Investigator | JCU Staff Member <i>For HDR projects ONLY:</i> HDR candidate | Process Responsibility | A Lead Investigator takes the lead role in conducting the research project. |
| Other Data Creators | JCU Staff Member <i>For HDR projects ONLY:</i> HDR Candidate | Process Responsibility | <p>Other Data Creators capture or create the data for the research project.</p> <p>Due to current system limitations, internal and external Other Data Creators are dealt with in two ways:</p> <ul style="list-style-type: none"> • <i>For Other Data Creators internal to JCU:</i> is any JCU staff member or HDR candidate that has involvement in the creation of research data. • <i>For Other Data Creators external to JCU:</i> is referred to as a Collaborator. <p>Other Data Creators are responsible for:</p> <ul style="list-style-type: none"> • accurately capturing data and information in line with legislation, policy and standards; • complying with all data and information governance policies, procedures, processes and rules; and • seeking advice on data and information requirements and providing feedback to the Data Manager. |
| Data Manager | Lead Investigator (typically) <i>For HDR projects ONLY:</i> Primary Advisor | Process Responsibility | <p>The Data Manger provides advice and or supervision to the researcher(s) throughout the research project lifecycle and reviews (spot checks) the veracity of the research project's data and information. The Data Manager post project is responsible for safeguarding the research assets from unauthorised access and misuse, archiving and disposal (see Custodianship responsibility).</p> <p>Note: Because responsibilities for data and information extend past the life of the research project (eg after the HDR candidate has graduated), the role of the Data Manager must be assumed by a JCU staff member.</p> <p>As such, the Data Manager is either the:</p> <ul style="list-style-type: none"> • Lead Investigator; or • <i>For HDR projects ONLY:</i> Primary Advisor. <p>On departure (cease employment at JCU) of a Lead Investigator or Primary Advisor from JCU, the role will transfer to the:</p> <ul style="list-style-type: none"> • For Colleges - Associate Dean of the Researcher (ADR's) or appropriate delegate as determined by Custodian • For Institutes and Centres – Custodian can delegate to appropriate Manager. |
| Record Administrator | System User | Process Responsibility | The Record Administrator is the person logged into Research Data JCU when an RDMP, Data Record or Data Publication is created. |

| Role | Who is Responsible | Type of Responsibility | Details |
|---|---|-------------------------------|--|
| (Data) Collaborators | <p>For internal collaborators: JCU staff member or HDR candidate</p> <p>For external collaborators: Contributor</p> | Process Responsibility | <p>Due to current system limitations, internal and external collaborators are dealt with in two ways:</p> <ul style="list-style-type: none"> • For collaborators internal to JCU: A collaborator is a JCU staff member or HDR candidate who has contributed to the research data in some way but is NOT other data creators. • For collaborators external to JCU: A collaborator is someone who has contributed to the research data in some way and may INCLUDE external other data creators. |
| Advisor (<i>ONLY for HDR research projects</i>) | JCU Staff Member | Process Responsibility | <p>An Advisor supervises the HDR candidate throughout the research project. Each HDR candidate has a minimum of two (2) Advisors:</p> <ul style="list-style-type: none"> • The Primary Advisor who takes the lead for the day to day supervision of the HDR candidate; and • The Secondary Advisor(s) who works with the Primary Advisor in supervising the HDR candidate. |