

Policy Number:	Policy Name: Research Data Management and Access Policy
Policy Revision Dates:	Page: 1

Definitions

1. "Code" means the combination of data and computer executable instructions that when combined may be used to manage, analyze, model or manipulate research data.
2. "Data Management Plan (DMP)" is a document, typically submitted in support of a grant application, that describes how data will be collected, processed, documented, stored, published and preserved as part of a research cycle.
3. "Data Use Agreement" is a contractual agreement used to define how access to and/or exchanged data may be used. The primary consideration is the protection of: protected health data (PHI) in accordance with HIPAA Regulations, personally identifiable information (PII) or other proprietary, commercial information. However, DUAs can be used in other situations where the exchange of data is necessary and an agreement detailing the responsibilities of both parties is required.
4. "Intangible Property" is as defined in the ABOR Intellectual Property Policy, i.e. "property having no physical existence, such as trademarks, copyrights, patents and patent applications and property, such as loans, notes and other debt instruments, lease agreements, stock and other instruments of property ownership," and includes research data.
5. "Investigator" is the person, whether as an employee, or otherwise affiliated with a university, whose position, responsibility statement, job description, employment assignment and/or function within the university is, either in whole or in part, to carry out research, whether sponsored by external sources, internal sources, or are unfunded. Such investigators shall include, but not be limited to, faculty, staff, other paid employees, or other individuals supported with university funds. See also Researcher and Principal Investigator.
6. "Metadata" means the accompanying information, either in a separate file or otherwise combined with the Research Data that sufficiently describes the data to facilitate re-use and avoid misinterpretation. Metadata will include, but is not limited to, an author's name, publishing date, title of data contents, description of contents, research methods and other such related information.
7. "Policy Owner" is the Arizona Board of Regents and any ABOR employee who has the assigned responsibility for managing the periodic review of this policy on behalf of the Board of Regents.
8. "Principal Investigator (PI)" is an Investigator who has primary responsibility for a research project within the university for the design, conduct and reporting of research.
9. "Project Closeout" applies when 1) a sponsored project award period has ended, and all deliverables have been submitted, or 2) non-sponsored project work has ended, and no further publications related to the project are anticipated.
10. "Researcher" is any faculty member, student, postdoctoral researcher, research associate or fellow, or other person involved in the design, conduct or reporting of research. See also "Investigator".
11. "Research Data" is defined as any recorded material collected, retained, and accepted by investigators in the course of a research project that are also used to derive and validate research findings. Research Data include both derived data (e.g., statistics, findings,

Policy Number:	Policy Name: Research Data Management and Access Policy
Policy Revision Dates:	Page: 2

formulas, etc.) and primary physical and digital data (e.g., notebooks, protocols, images, case history records, etc.). Research data may be quantitative in the form of spatial and tabular files, remote sensing output; qualitative information such as documentation, interviews, and survey results; and supplementary information including images, digitized physical samples, audio or video recordings, computational models or other relevant software/code.

12. "Research Data Manager" is the assigned employee (faculty or staff) who has responsibility and decision-making authority for the documentation, management, sharing, and security of the Research Data collected, stored and ultimately published as part of a research study.
13. "Research Data Steward" is the assigned employee (faculty or staff) who has responsibility and decision-making authority for the local implementation of this policy, including the controls (processes and tools) that support the documentation, management, sharing, and security of the research data collected, stored, and ultimately published at the institution.
14. "Sensitive Data" is any Research Data that requires additional protections to ensure the information collected is not compromised through mishandling. Sensitive Data may include: human subjects research data containing Personal Identifying Information (PII) or Protected Health Information (PHI), data acquired through purchase and restricted by license agreement from publication, confidential data where a Data Use Agreement (DUA) restricts publication, environmental data where disclosure of location or similar information would place populations of rare or endangered species at risk, culturally sensitive (e.g. archaeological) data that may require similar protections, or any data, that if released, would potentially harm an individual, or community, or have a significant negative public impact, if disclosed.
15. "Substantial University Resources" are the resources provided by the university that go above and beyond what is customarily provided to university employees or students. Substantial Resources will vary by university, department/unit, and context. To be substantial the resources must be beyond the ordinary (e.g. computer) and must be more than what other members of the department or students in similar situations are regularly offered as support for their work.
16. "Tangible Research Property" are the items produced in the course of research, such as compositions, chemical compounds, biological materials, materials, drawings, devices, integrated circuit chips, computer databases, computer software, prototypes, circuit designs, and equipment." Tangible Research Property shall be treated as research data only to the degree that it meets the definition of Research Data above, or when funding agency regulatory or contract language requires that it be classified as such (e.g. the use of physical samples or images to support findings in published papers).