A Guide to Ethical Conduct in Human Research for UNSW Art & Design Research Practitioners

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Preamble

The Importance of Ethical Human Research in Art & Design Practice

Human research has contributed enormously to human good, and in the practices of art and design this includes countless contributions of emotional connection, advocacy, shared histories, beauty and representation.

Participants who volunteer to be involved in human research often do so altruistically, for the common good. Many participants will enter into a relationship with researchers whom they do not know, but need to trust. This trust adds to the ethical responsibility of the researchers to give thorough consideration and protection to participants.

The majority of human research carries little risk to the participants and can be conducted in a safe manner. Sometimes risk can occur despite the best intentions and planning, but sometimes risk can occur due to ethical insensitivity or neglect. In art and design research practices, the nature of the involvement of participants is widely varied and complex. Dawn Mannay (2015) argues that researchers applying visual and narrative methodologies need to be particularly sensitive to the affective impacts of their work, as artistic creation can be an experienced emotive process; engendering wider ethical concerns (p.121).

As such, art and design practitioners have an obligation to be highly aware of ethical research practice principles, and ensure that they guide every stage of their human research, and treatment of data and personal information.

The research of art and design practitioners can be empowering and representative of groups who may be voiceless or autonomy compromised, just as it may contribute the development of new technologies, health sciences, or help to shape the identity of a community. When researchers operate with sensitivity and respect, human research can be enormously beneficial.

Institutional Research

Researchers operating within the institution of the University of New South Wales are subject to the institution's responsibilities to conduct quality, safe, and ethically sound research. The university is responsible and accountable for seeing that all human research conducted is ethically acceptable, and must provide good governance for ethical review. The university has a series of checks and processes that must be adhered to in order to uphold this responsibility.
In the case of art and design research, while some research practices may be of a similar nature to private art-making practices (such as recording a video in public, casting a body part, or interviewing a friend), when conducted within an institutional setting as research, these practices must be governed by ethical principles, and adhere to the necessary processes.

This document will provide case studies and guidelines to assist art and design researchers in deciding what kinds of research require ethical review, and how to plan for minimal risk to participants.

Contents

1. Purpose, Scope and Limits of Document

The purpose of this document is to promote ethically sound human research at UNSW Art & Design. To fulfil this purpose, this document details the considerations and processes involved in ensuring ethical conduct in research at UNSW, with particular attention given to the complex and diverse nature of data and research practices in the fields of art and design.

This document aligns directly with the National Statement on Ethical Conduct in Human Research (2007, updated May 2015) which is a series of guidelines made in accordance with the *National Health and Medical Research Council Act 1992 (the Act)*. It is important to note that the National Statement is subject to rolling review every five years.

This document is not an exhaustive guide on ethical conduct in human research, but rather summarises the UNSW internal ethics review process, and provides as a summary of the National Statement, with emphasis given to the application of key principles to the context of art and design research. Information from other public sources is also summarised, and where this is the case, a link has been included immediately following the information.

Ethical practice is not governed by a series of rules, but rather underlying principles that ought to 'permeate the way that those engaged in human research approach all that they do in their research' (NSECHR p.2). These principles promote a spirit of concern and abiding respect for one's fellow human beings. In each unique situation, researchers ought to exercise judgement within their context, with careful consideration of the values and principles of ethical practice. The following section outlines several key terms and principles that aim to help shape the ethical approach of those involved in human research.

2. Key Terms and Principles

2.1 Research

Many art and design practitioners conduct practice-based or practice-led research, which may involve a wide range of creative undertakings. This research is not in any way second-class or on the fringe of what is considered research. The *National Statement on Ethical Conduct in Human Research*, (NSECHR) (2007) describes research as "…investigation undertaken to gain knowledge and understanding or to train researchers." Additionally, it cites the British Research Assessment Exercise (RAE), who offer a wider definition:
''Research'… includes work of direct relevance to the needs of industry… the invention and generation of ideas, images, performances, artefacts including design, where these lead to new insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, produces and processes, including design and construction … this definition sought to include the widest range of creative and experimental activities… this could include poetry, painting and performing arts as research.' (NSECHR, 2007. p.3).

Excellence for Research in Australia (ERA) provide a definition that is even more broadly inclusive, 'research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts,

methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.'
http://www.arc.gov.au/excellence-research-australia

It is important that artists and designers conducting research within an institution consider their practice as 'research' to ensure ethical conduct. Further, they must identify their artefacts and any resulting information as 'data', requiring that it be handled and stored according to ethical guidelines to protect participants. The considered treatment and sharing of data has additional benefits for the researcher and their research community, which are addressed in section 7.3.3 of this document.

2.1.1 Human Research

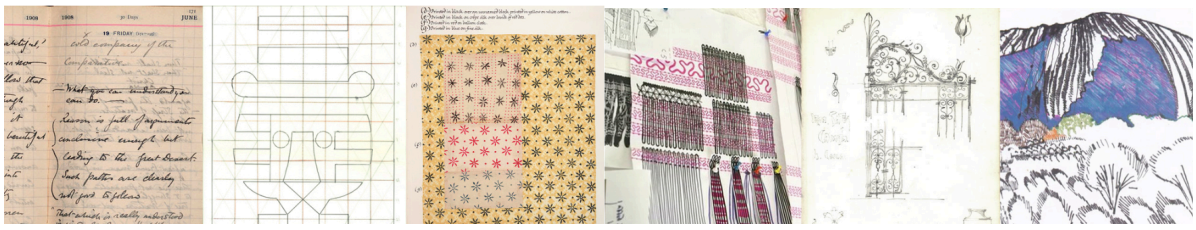
Human research is anything conducted with or about people, their data or tissue. It includes:

- Taking part in surveys, interviews or focus groups
- Undergoing any kind of psychological, physiological or medical testing
- Being observed, filmed or photographed by researchers
- Researchers having access to their personal data or information
- Collection or use of any part of their body. This includes modelling, casting, or any kind of physical participation
- Access to their information as part of a published or unpublished source or database

For these reasons, the term 'participants' also necessarily includes *those who may not know even they are the subjects of research*, such as those being filmed from a distance in a public area, or a particular cultural group. Human research may also impact the lives of people who are not participants, and researchers must also give consideration to this.

2.2 Data

Research data can be described as: "data which arises out of, and evidences, research...examples of visual arts research data may include sketchbooks, log books, sets of images, video recordings, trials, prototypes, ceramic glaze recipes, found objects, and correspondence (Garrett and Gramstadt, 2012)."



Research data may also be defined as: "evidence which is used or created to generate new knowledge and interpretations. 'Evidence' may be intersubjective or subjective; physical or emotional; persistent or ephemeral; personal or public; explicit or tacit; and is consciously or unconsciously referenced by the researcher at some point during the course of their research. As part of the research process, research data may be collated in

a structured way to create a dataset to substantiate a particular interpretation, analysis or argument. A dataset may or may not lead to a research output, which regardless of method of presentation, is a planned public statement of new knowledge or interpretation (Garrett, 2012)." - http://www.vads4r.vads.ac.uk/p/what-is-research-data.html

The correct processes for handling, storing and sharing data are addressed in detail in Section 7 of this document.

2.2.1 Examples of Art and Design Research Data

What is it?
A trial or test

How is it part of the research lifecycle?
Artist practitioners may carry out hundreds of different tests and experiments in order to develop their research and evaluate the best working methods. This set of 21 small tiles is a record of some of the tests carried out, and may have been used by Denise Wren as a reference for more than one output. They also serve as a historical record for the future as part of the Crafts Study Centre's collections and archives.

Image Credit
Denise Wren, 21 small tiles used to demonstrate different salt glaze tests on stoneware, 1960s. © Rosemary Wren/Crafts Study Centre 2004. Photo: David Westwood. Available from VADS

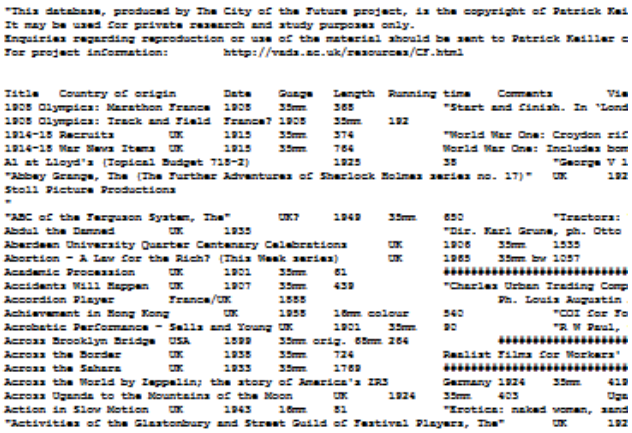
What is it?
A cultural probe

How is it part of the research lifecycle?
A cultural probe is a small package consisting of objects and a series of tasks for participants. Designers may use these in order to elicit feedback, to better understand potential users, as well as to inspire the design process.

Image Credit
Cultural probe, Interaction Research Studio, Goldsmiths, 2011. © Goldsmiths, University of London

What is it?
A database

How is it part of the research lifecycle?
This database was one of the outputs of *The City of the Future* research project funded by the Arts and Humanities Research Council. The database is available in a variety of formats for download and has a set of accompanying notes.
The database constitutes research data for the project and additionally, since being made available for private research and study, may now be considered research data for other researchers such as Cultural and Art Historians.



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"This database, produced by The City of the Future project, is the copyright of Patrick Kei
It may be used for private research and study purposes only.
Enquiries regarding reproduction or use of the material should be sent to Patrick Keiller c
For project information:        http://vads.ac.uk/resources/CF.html


Title   Country of origin       Date    Gauge   Length  Running time    Comments        Vie
1908 Olympics: Marathon France  1908    35mm    365             "Start and finish. In 'Lond
1908 Olympics: Track and Field  France? 1908    35mm    192
1914-18 Recruits        UK      1915    35mm    374             "World War One: Croydon rif
1914-18 War News Items  UK      1915    35mm    764             World War One: Includes bom
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"Abbey Grange, The (The Further Adventures of Sherlock Holmes series no. 17)"   UK      192
Stoll Picture Productions
"
"ABC of the Ferguson System, The"       UK?     1949    35mm    650             "Tractors:
Abdul the Damned        UK      1935                            "Dir. Karl Grune, ph. Otto
Aberdeen University Quarter Centenary Celebrations      UK      1906    35mm    1535
Abortion - A Law for the Rich? (This Week series)       UK      1965    35mm bw 1057
Academic Procession     UK      1901    35mm    61              ##########################
Accidents Will Happen   UK      1907    35mm    439             "Charles Urban Trading Comp
Accordion Player        France/UK       1555                            Ph. Louis Augustin
Achievement in Hong Kong        UK      1955    16mm colour     540             "COI for Fo
Acrobatic Performance - Sells and Young UK      1901    35mm    90              "R W Paul,
Across Brooklyn Bridge  USA     1899    35mm orig. 65mm 264             ##################
Across the Border       UK      1935    35mm    724             Realist Films for Workers'
Across the Sahara       UK      1933    35mm    1769            ##########################
Across the World by Zeppelin; the story of America's ZR3        Germany 1924    35mm    419
Across Uganda to the Mountains of the Moon      UK      1924    35mm    405             Uga
Action in Slow Motion   UK      1943    16mm    51              "Erotica: naked women, sand
"Activities of the Glastonbury and Street Guild of Festival Players, The"       UK      192
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Image Credit
Detail of database in plain text format. Available from VADS. © Patrick Keiller

Further examples can be found at: https://xerte.ucreative.ac.uk/play.php?template_id=32

2.3 Respect

Respect is central to human research and involves recognising the intrinsic value of each human being. This respect must govern all interactions between people. 'Such respect includes recognising the value of human autonomy- the capacity to determine one's own life and make one's own decisions. Further… it involves providing protection of those with diminished or no autonomy, as well as empowering them where possible...' (NSECHR p.5).

Respect also involves having due regard for the welfare, beliefs, perceptions, customs, and cultural heritage of those involved. Researchers should respect the privacy, confidentiality and cultural sensitivity of any participants, and any agreements made with participants or their communities should be fulfilled (NSECHR p.6)

2.4 Merit, Integrity & Justice

Unless the proposed research has *merit*, the involvement of human participants cannot be ethically justifiable.
Research that has merit must be justifiable by its potential benefits. A discussion of benefits is expanded in 2.4 below.

Research that has merit must:
a. be designed using methods appropriate for achieving the aims of the proposal.
b. be based on a thorough study of existing literature or practice
c. be designed to ensure respect for the participants is not compromised by the aims of the research, or the manner in which it is conducted

Unless the researchers who carry out the research have *integrity*, the involvement of human participants cannot be ethically justifiable.

Researchers with integrity are committed to:
a. searching for knowledge and understanding
b. adhering to the principles of research conduct
c. conducting research honestly and thoroughly
d. disseminating and communication results in ways that permit scrutiny

In research that is *just*:
a. the inclusion of research participants is accurately described in the results
b. the process of recruitment of participants is fair
c. there is no unfair burden on particular groups to participate
d. there is a fair distribution of benefits of participation in research
e. there is no exploitation of participants
f. there is fair access to the benefits of research

The outcomes or resulting artefact (documentary, artwork, data etc) should be made accessible to participants in a timely and clear way. (NSECHR p.5)

2.5 Benefit and Risk

The potential benefits of research *must outweigh any possible risk or harm*. Benefits may include contribution to knowledge, improved social welfare or wellbeing, or contributing to the skills and expertise of the researcher. What constitutes a benefit is contextual and may be specific to a discipline.

The relationship between risk and benefit to participants, particularly in participatory art and design research can often be complex and correlated. For example, whilst anonymity can often reduce risk, it can also potentially undermine benefits to participants, as explained by Mannay (2015) in the example of 'Sweetman and Hensser's (2010) project, City Portraits, (where they) worked with residents of Southampton and represented the participants in life-sized images in a street-based exhibition. Participants reported that the project fostered a sense of belonging and community involvement; and the act of being seen was regarded by many participants as a transforming process that provided pleasure in seeing the photograph, a new perception of self, the seizing of opportunities and the affirmation of greater ownership of Southampton. For Sweetman and Hensser (2010) a preoccupation with anonymity acts as a resistance to discourses of participant visibility, but, as their project testifies, visibility can engender a potential for advantage (p.123)
Benefits gleaned from art and design research may include insights into the human experience or a particular culture, the acquisition of new knowledge regarding a material or technique, or the preservation of traditional practices from a remote indigenous

community. Researchers must weigh the potential benefits against any possible risk to participants.

Risk is the potential for harm, discomfort or inconvenience, and involves gauging *likelihood* (that harm will occur) and *severity* (of the harm and any consequences). There are three risk categories for ethics approval: Negligible, Low Risk and More than Low Risk. It is important to understand the parameters of these categories to anticipate the potential risks during the research design phase.

2.5.1 Negligible (Inconvenience)

Negligible risk research is research where the only foreseeable risk is no more than inconvenience. Inconvenience may include filling out a form, participating in a brief survey or giving up time to participate. (NSECHR p.7)

2.5.2 Low Risk (Discomfort)

Low risk research presents a risk to participants greater than that of inconvenience, but less than harm, and is described as discomfort. Discomfort may involve body or mind discomforts including minor side-effects of medication, or anxiety induced by an interview. If a participant's reactions exceed discomfort and become distress, they should be viewed as harms. (NSECHR p.7)

2.5.3 More than Low Risk (Harm)

Any potential risk to participants greater than discomfort is considered harm. The definition of harm includes obvious kinds of harm such as physical pain or illness, and psychological pain such as distress, guilt, anger, fear or disclosure of sensitive information. But it also includes harm which may not be so obvious, such as embarrassing the participant, or causing feelings of worthlessness.
Social harms include damage to social networks or relationships, social stigmatisation, or findings of previously unknown paternity status. Economic harms include the imposition of direct or indirect cost to participants. Legal harms may include the discovery and prosecution of criminal conduct. (NSECHR p.7)

2.5.4 Minimsing and Managing Risk

Minimising risk occurs at the planning stages of research, where researchers and their supervisors assess the aims and importance of the research, and the methods by which these aims might be achieved without causing harm to participants.

Managing risk means that in their research, researchers must design mechanisms to deal adequately with any harms that occur and must monitor for any potential on-going harm. Examples of this may include things such as having a towel handy for participants who may get water on their shoes, to directing participants to counselling services if they require debriefing following an interview.

Most importantly, participants must clearly understand all the risks involved in participation.

2.6 Who is Involved in the Ethics Approval Process?

2.6.1 Chief Investigator

The chief investigator (CI), sometimes also referred to as a Principal Investigator, is responsible for the initial planning, administrative and ethical aspects of a research project. The CI has overall responsibility for the project and for gaining ethical clearance. They are also responsible for communicating with the Head of School, the HREA panel and the HREC, and for responding to any requests for changes to the application made by the committee.

For students, the CI will usually be their supervisor or the course convener, and for staff this person is usually a more senior staff member or experienced researcher involved in the project.

2.6.2. Faculty Ethics Representative

The faculty ethics representative is the primary point of communication between the staff and students of the faculty, the HREC and the HREA review panel assigned to the faculty. The faculty representative is available to give advice on applications, review applications prior to submission and assist researchers in interpreting and applying ethical guidelines. The faculty representative should be consulted on all applications for anything greater than negligible risk (Low Risk or More than Low Risk).

2.6.3 Head of School

All ethics submissions must be supported by a letter or email of support from the head of school before it can be accepted for review. This is generally an email provided by the head of school confirming that they have reviewed the project and are happy for it to proceed.

2.6.4 HREA 'Panel B'

HREA are the Human Research Ethics Advisory panels. UNSW has eight discipline-based panels concerned with research which has *low risk ethical impact.*
In the case of Art & Design, this is Panel B, which reviews ethics applications for the faculties of Arts, Humanities and Law.

The members of Panel B are sent ethical applications for review. They meet to discuss any points requiring further deliberation, and collectively make a recommendation. The time frame for review of negligible risk applications is a minimum of one week.

This panel is informed about and sensitive to the varied and potentially complex nature of ethical concerns in art and design research practices. Panel B liaise with the Faculty Ethics Representative when application clarification or resubmission is required.

2.6.5 HREC

UNSW has two Human Research Ethics Committees (HRECs) both of which are registered and certified with the National Health and Medical Research Council (NHMRC). Both HRECs are responsible for reviewing *more than low risk* research. The committee meet once a month to discuss the details of low and more than low risk applications, therefore the review of these applications can take more than a month.

Low risk applications require organization and planning on behalf of the CI and researcher/s because the research project cannot begin before written ethics approval is granted, and the application may require changes and additional review prior to approval.

3. When and Why is Ethical Review Needed?

3.1. Why Ethical Review is needed

Ethical review is necessary to protect the welfare, rights, dignity and safety of research participants and also to protect researchers' rights to conduct legitimate investigation.

3.2 When Ethical Review is needed in Art & Design Research

All UNSW Staff or Students who intend to conduct research involving human participants as part of an Honours, Masters, Doctorate or other higher degree must apply for approval from the appropriate responsible ethics review body.

'Projects that involve any of the following are likely to require ethics approval:

- Interviews
- Surveys and questionnaires
- Audio or video recording (of people other than the researchers)
- Using archived data in which individuals are identifiable
- Photography of people
- Performances involving others
- Study or research in illegal activities
- Access to an individual's personal documents or information.

Projects for which only information that is freely available in the public domain is used, or that are purely observational and non-interactive, are unlikely to require ethics approval.' The following link provides further information on when ethical review is needed: http://unimelb.libguides.com/c.php?g=402830&p=3063140

4. Designing for Ethical Research: The process

4.1 Step 1: Develop your research question and methodology

It is essential to consider the principles of ethical human research in the initial stages of planning your research question and methodology to plan for the lowest possible risk to participants. The aims of your research must have merit and clear benefits that far outweigh any possible risk to participants involved. The research question and methodology must be demonstrably designed based on a thorough understanding of existing research and practices.
The Chief Investigator should be highly active in this stage of the research project in guiding the researcher or team towards a methodology of the lowest possibly risk.

Important questions to ask in this early stage:

- Does the research methodology necessitate the involvement of human participants? Is there another way the aims could be achieved?
- What are the potential benefits of the outcome of this research?
- What mechanisms can be built in to the methodology to reduce the risk of harm to any participants even further?

4.2 Step 2: Assess the Risk and Merit of the Research Method

Once the research question and methodology have been developed, the researchers must assess the level of risk to any human participants involved in the research. This assessment must include the level of anticipated risk (negligible, low or more than low), as well as likelihood of occurrence, and severity.
When assessing merit, consider if the planned method and approach is appropriate in relation to the aims and any pre-existing studies or literature; can the method be justified? Is respect for the participants of primary importance?
Where appropriate, provide references to peer-reviewed articles on the relevance and effectiveness of the methodology you plan to employ.

4.2.1 How to Assess Risk

Firstly, plan your research method in full. Honours students and Higher Degree Researchers should work closely with their supervisors to develop a research plan. You can use the 'Project Description' form found here: https://research.unsw.edu.au/forms-and-templates-0 as a prompt for your planning. Questions to ask include:

- What are the aims of the study and why is this study important?
- What will happen during the study?
- How will I recruit participants and what is the nature of the consent that will be sought?
- What are the potential risks to participants and do the benefits of this research outweigh this?
- How will the risks be managed or minimised?

Once the project has been planned, return to the descriptions of Negligible, Low or More than Low Risk harms and try to anticipate if the risks are likely to be an inconvenience, or if they are more likely to cause some level of discomfort.

4.3 Step 3: Discuss Your Assessment with the Faculty Ethics Representative

At any stage of your application, you can email the faculty ethics representative and arrange a face to face meeting to discuss your project. If you are anticipating that your research will pose more-than-negligible risk, it is advisable to speak to the ethics representative early in the project, prior to your application. The Faculty Ethics Rep also has experience with many ethics applications, so if you are unsure about gauging risk etc., they may be able to offer assistance through comparison with similar studies and their risk classifications.

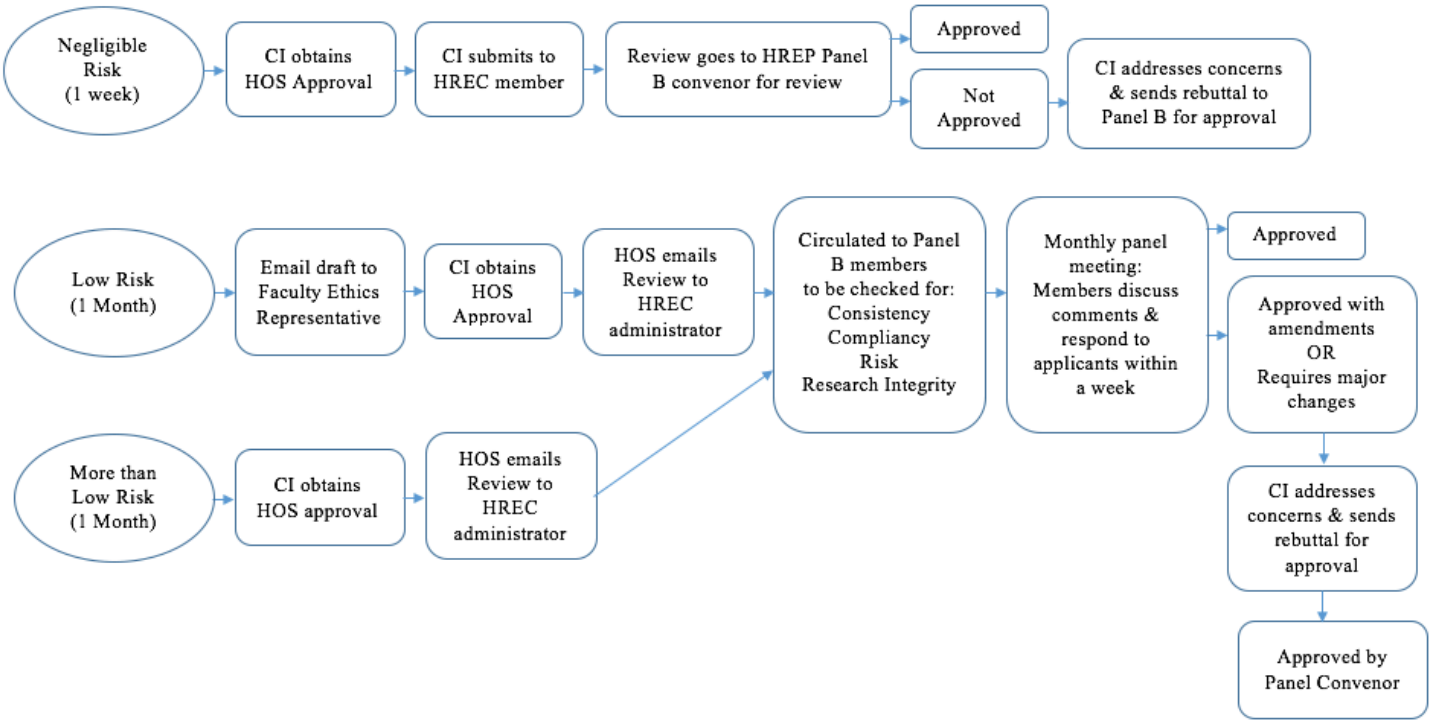
4.4 Step 4: Complete & Submit the Application Form

Ethics application forms are available here: https://research.unsw.edu.au/forms-and-templates-0

If you require additional assistance or clarification for completing your ethics application, you can contact the faculty ethics representative.
The UNSW human ethics team can also provide you with further guidance on how to create your ethics application. You can access this help by contacting the Human Ethics Team at E: humanethics@unsw.edu.au or T: (02) 9385 6222 or (02) 9385 7257.

5. The Process of Submission and Review (A Flow Chart)

The following flow chart outlines the steps that an ethics application will go through, and provides an indication of the minimum time frame to be expected.
To note: if the application requires *major* changes e.g. an application where there are too many unknown or undefined parameters (research methods, sample size etc.) or inconsistences in consent form information, it will likely require a second review at the HREA Panel B meeting.



6. Consent

The guiding principle for researchers concerning participation is that any person's decision to participate must be voluntary, and thoroughly informed about the research and any implications of participating in it.
Each participant's decision to participate should be clearly established, whether or not they will be identified. No person should be subject to coercion or pressure to participate. People who elect not to participate in research need not give any reason for their decision, and participants are entitled to withdraw from the research at any stage.
Consent may be expressed in writing, or orally, or in some cases consent may be implied by conduct, such as the return of a survey form.
The method of consent will be determined by the nature of the research and the participant's personal circumstances.

Participants must be informed about the purpose, methods, demands, risks and potential benefits of being involved in the research. Potential participants should be able to ask questions and discuss their involvement with others if they wish.
The following information should also be communicated to participants, distinct from the information above:

a. any alternatives to participation
b. how the research will be monitored
c. provision of services to participants adversely affected by the research
d. contact details of a person to receive complaints
e. contact details of the researchers
f. how privacy and confidentiality will be protected
g. the participant's right to withdraw from participation at any time, any implications of withdrawal, and whether it will be possible to withdraw data
h. the amounts and sources of funding for the research
i. financial or other relevant declarations of interests of researchers, sponsors or institutions
j. any payment to participants
k. the likelihood and form of dissemination of research results, including publication, exhibition, or screening of a film etc.
l. any expected benefits to the wider community

These factors should not merely be communicated to satisfy formalities, but to facilitate a genuine and mutual understanding between participants and the researchers.

Sometimes 'limited disclosure' to participants of the aims or methods of the research may be justifiable, and researchers should refer to Chapter 2.3 of the *National Statement on Ethical Conduct in Human Research* for information on qualifying or waving conditions for consent.

6.1 What if I am Unable to Acquire Consent?

In some situations (such as filming a large crowd or documenting an exhibition), the researchers are unable to acquire consent from participants, where gaining consent may be neither practical nor feasible. In this case, an opt-out approach may be justifiable,

where consent to participate is assumed unless they take action to decline to participate. When employing the opt-out approach, researchers should take careful note of the guidelines listed in Chapter 2.3 of the *National Statement on Ethical Conduct in Human Research.* This approach includes a number of clauses, including that the public interest in the proposed activity must substantially outweigh the public interest in protection of privacy.

6.2 Consent in Art and Design Research

Sweetman (2009) argues, in many cases in visual research, anonymity and confidentiality are almost impossible to guarantee. Consequently, there has been calls for informed consent to be reconceptualised as something that is not fixed but fluid so that the use of images and interview data is continually negotiated with research participants (Cox et al. 2004); such participatory practice aims to rebalance the power in the research relationship (Wiles et al. 2008).
As highlighted by Wiles et al., the principles of consent are closely linked with those of respect, and particularly 'human autonomy- the capacity to determine one's own life and make one's own decisions'. Therefore, in certain instances, researchers might possibly propose an on-going negotiation of consent as circumstances change. However, the logistics of formalising this relationship may be limiting.

6.3 How to Write a Consent Form or Participant Information Sheet

UNSW research consent forms and information sheets are standardised, and come in detailed editable templates, which outline exactly what needs to be included. Templates for consent forms and participant information sheets are available here: https://research.unsw.edu.au/forms-and-templates-0

7. Data Storage, Management, Sharing & Deletion

7.1 Types of Data

7.1.1 Identifiable

Identifiable data not only includes names, date of birth and faces, but any information that could potentially identify a specific individual, or distinguish one person from another. This includes any indirect identifiers, that help connect pieces of information together until an individual can be singled out. Also included are commentary or opinions from or about the person, whether this information is true or not.

7.1.2 De-Identified

De-identification aims to allow data to be used by others without the possibility of individuals being identified. Data de-identification may be used to:

- protect the privacy of individuals and organisations, such as businesses,
- ensure that the spatial location of mineral or archaeological findings or endangered species is not publicly available

A guide to de-identifying your data:
http://www.ands.org.au/working-with-data/sensitive-data/de-identifying-data

7.2 Publishing Data Online or to Social Media

Publishing your work to a site such as YouTube is legally considered publication, and YouTube has its own terms of service, and any copyright permissions should be obtained, and all laws adhered to.
In general, be mindful of the implications of sharing any data or research online. In the case of any data, images or film involving humans, participants must either be completely de-identified, or consenting to the work being published online. This must be carefully considered as there is no possibility to withdraw their consent once the work has been shared online.

7.3 Data Storage Options

7.3.1 UNSW ResData

ResData has two functions; the first is for researchers to complete a Research Data Management Plan (RDMP), and the other is as an entry point to accessing storage in the UNSW Data Archive.

You can also use ResData to publish a dataset record, which is shared with Research Data Australia. A *dataset* is the group of various data that was utilised during the research project. The *dataset record* describes the nature of the data, the researchers involved, access, grants, restrictions, the citation and how to get in touch with the researchers if someone wants to access, reuse or build on your data. It also adds a 'handle' or DOI which is a persistent identifier online for the dataset.
Sharing a dataset record bolsters the researchers' profile, and allows others to build upon the findings. Furthermore, this level of transparency and availability of data adds validity and integrity to defining the project as 'research', and heightens the quality of the contribution made to the research community.
Increasingly, grant-funders are requiring that datasets be made publicly available, so building a RDMP prior to application for funding is a highly advisable.

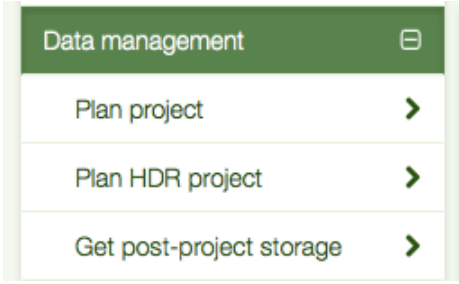
7.3.1.1 What is a Research Data Management Plan (RDMP)?

The UNSW *Research Data Management Plan* (RDMP) is an online document which enables UNSW researchers to consolidate and summarise information regarding the management of data for their research projects. This link describes the key types of information that a RDMP records about a project:

https://research.unsw.edu.au/unsw-research-data-management-plan-rdmp

Researchers can make a RDMP even if they don't require storage (your data may be stored elsewhere, for example, in another discipline-specific data archive), but a RDMP allows you to plan and be explicit, ethical and thoughtful about how your data will be managed and stored during and after the completion of the project. All higher degree researchers need a RDMP even for data that does not involve human research. Developing a RDMP is extremely helpful for reflecting on the research processes, procedures and outcomes of your research practice, and how these may be communicated and classified.

Having a RDMP is essential to researchers for the purposes of both recall (to reuse years later, or to provide on request to a participant), but also for ethical protection in the future if someone questions the integrity or results of your research.
Researchers can apply for data storage at any stage of the research project, but ideally, a RDMP should be created prior to the start of a project.
Application for storage is started by creating a RDMP to access the data archive. The following image shows the kinds of project data management available.



The 'Plan HDR Project' option pre-populates a lot of the information because students will already be listed in the system; this is an abbreviated plan and not as extensive as a pre-project RDMP. The Post-Project Storage management plan is even more limited again, and only requires a few pieces of information for acquiring and managing storage.

Create a Research Data Management Plan:
https://resdata.unsw.edu.au/pages/authenticate.faces

7.3.2 UNSW Data Archive

The UNSW Data Archive is a large secure data storage archive, with three backup locations both on and off campus, and can be used to upload, download, locate and review your research data. It provides long-term data management and storage options for UNSW staff and students.
The archive is permanent, and data can be retrieved, but not deleted or destroyed. Therefore, if you have identified data, you may need to use an alternative storage option for that part of your data.

UNSW Data Archive is not publically accessible, so if you wish to make your data publically available there are many open access data repositories available, such as Cloud Store:
https://www.aarnet.edu.au/network-and-services/cloud-servicesapplications/cloudstor

For more information on the UNSW data archive:
UNSW Data Archive: *http://www.dataarchive.unsw.edu.au/help/sftp-client-guide*

7.3.3 The Benefits of Publishing Metadata

Metadata is structured information that describes, explains, locates, or makes it easier to retrieve, use, or manage an information resource. Metadata is often defined literally as '*data about data'*.
Organising, documenting and describing data means that data will be easier to locate in the future. It can also provide context for data and the research process.

Why share your metadata? There are many good reasons to share metadata that will benefit you, others within your discipline, and the research institution in which you work. Sharing your metadata allows for:

- New discoveries from existing data
- Integration of sets of data for new analysis
- Re-analysis of expensive, rare or unrepeatable investigations
- A DOI (Digital Object Identifier) to be assigned to your data so that it can be cited, its use tracked in the same way as journal articles and your research recognised and rewarded.
  More information on sharing metadata can be found here:
  http://www.ands.org.au/guides/ethics-consent-and-data-sharing

7.4 IP, Copyright and Third -party Images

7.4.1 Intellectual Property

The Australian Government provides a general guideline to Intellectual Property (IP) here: https://www.ipaustralia.gov.au/understanding-ip/getting-started-with-ip/ip-explained

UNSW Art & Design HDR's are required to identify if any intellectual property (IP) is involved in their research project. Although much of the work researchers do is new and original, the GRIS interface specifically asks if there is any *registered IP* involved in the research project.

Regarding art & design research, the UNSW IP policy states:

4.7 Ownership of artistic, musical, dramatic or creative works
The University does not assert any right or claim to ownership of the IP in artistic, musical, dramatic or other creative works created or composed by its Staff or Students, except where these works have been Specifically Commissioned by the University, or are created in whole or in part with the use of University Resources.

If you are unsure whether material you have developed at UNSW belongs to you or the university, section 4.2 outlines:

4.2 Ownership by the University of Intellectual Property developed by Students
The University does not assert ownership of IP created by Students unless the IP:

(i) consists of teaching materials; and/or
(ii) has been separately assigned to UNSW under a specific agreement with the Student; and/or
(iii) has been jointly developed with University Staff and the Student is deemed to be co-Creator; and/or
(iv) is the subject of an existing agreement between The University and/or NSi with a 3rd party (usually associated with industry-sponsored research programs).

A copy of the UNSW IP Policy can be found here:
https://www.gs.unsw.edu.au/policy/documents/ippolicy.pdf

7.4.2 Copyright

Copyright guide for UNSW Researchers: https://www.library.unsw.edu.au/copyright/for-researchers-and-creators

When a thesis is put into UNSWorks repository upon completing, if it includes any third-party materials (images, charts etc.), the researcher must acquire copyright permission from the copyright holder, otherwise the images will be removed from the thesis before it is stored. This is because when UNSW stores and makes available the thesis, they are made subject to Australia Copyright Law. This includes photographs that the researcher has taken themselves of other people's work, for example, photographs of paintings in an exhibition. Permission must be obtained from the copyright holder (possibly the gallery or the artist etc.)
While this does not impact on submission, it could affect the way their thesis appears online. The following link 'Copyright and Your Thesis' describes the details of the use of third party material in your thesis:
https://www.library.unsw.edu.au/copyright/for-researchers-and-creators/copyright-and-your-thesis

If you need to acquire permission from a copyright holder, there is pro forma letter available for researchers to send to publishers, available here:
https://www.ipaustralia.gov.au/understanding-ip/getting-started-with-ip/ip-explained

If permission has not been obtained at the time your thesis is submitted, please remove the materials for which permission was not received from the public version of your thesis. In the place of the redacted materials, you may include a short statement, such as: *Figure (Text/Chart/Diagram etc.) has been removed due to copyright restrictions."*

8. A Note to Supervisors | Chief Investigators

In order for human research to have merit, it must be supervised by persons with experience, qualifications and competence that are appropriate for the research. Further, the research *must be shaped by ethical principles from the beginning of the project* and not considered in an ad-hoc manner prior to ethical review.
It is the responsibility of the supervisor/ and or CI to ensure that ethical principles are well known to the researchers, and are employed when devising the question and aims of the research project to plan for the lowest possible risk to participants.
Furthermore, it is the responsibility of supervisors to administer the storage of research data for the required minimum 5 year period from when the research has been completed and/ or published.

References

Mannay, D, Visual, narrative and creative research methods: application, reflection and ethics, London: Routledge, Taylor & Francis Group, 2016.

National Statement on Ethical Conduct in Human Research (2007, updated May 2015)