

Data Management Plan (DMP)

There is a set of guidance notes for help in completing this DMP. See companion document

Applicable Sections Within the DMP

Mark with a Yes/No which sections of the DMP are currently applicable/not applicable to your project. This will highlight where decisions and actions are required. Then complete the applicable sections. Note: some sections are applicable to any project and these have already been marked with Yes.

DMP Section		Applicable
1.	Introduction and Context	
1.1	Project Information	Yes
1.2	DMP Information	
1.2.1	Requirements for a DMP (<i>imposed by an internal / external body</i>)	
1.2.2	Allocation of Research Data Management Roles and Responsibilities	Yes
1.2.3	DMP Version Tracking	Yes
2.	Ethical and Legal Issues	
2.1	Ethical and Legal Risk Factors	Yes
2.2	Ethical Issues Related to Research Involving Human Participants	
2.3	Data Protection Act (<i>personal details of individuals</i>)	
2.4	Freedom of Information Act (<i>access to information produced by public sector organisations</i>)	Yes
2.5	Other Legal Issues	
2.6	Intellectual Property Rights	Yes
2.7	Other agreements	
3.	Data Reuse and Sharing	
3.1	Data Reuse (<i>use by researchers in the project team for a different project</i>)	
3.2	Data Sharing (<i>use by other people not involved in the project</i>)	
4.	Data Collection and Analysis	
4.1	Using Existing Data	
4.2	Creating and Capturing New Data	
4.3	Data Analysis	Yes

/cont. on next page

4.4	Contextual information <i>(overview of the research context, design, methods, results)</i>	Yes
4.5	Metadata	Yes
5.	Short-Term Data Storage <i>(for the duration of the project)</i>	
5.1	Data Storage	Yes
5.2	Data Security	Yes
5.3	Data Retention and Destruction	Yes
5.4	Data Preservation	
6.	Dissemination <i>(of outputs and publications: data is covered in Section 3)</i>	Yes
7.	Long-Term Data Storage <i>(after project completion)</i>	
7.1	Data Retention and Destruction	
7.2	Data Storage	
8.	Resources for RDM <i>(additional resources required for implementing RDM activities)</i>	

Unless specified otherwise, mark relevant boxes with an X or ✓

1. Introduction and Context

1.1 Project Information

Is this section applicable to your project?	Yes:	<input checked="" type="checkbox"/>
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Type of project	Staff:		PhD student:		MSc student:	
Name of researcher(s) <i>note who is the Principal Investigator (PI,) if applicable</i>						
Title of project						
Name of organisation(s) funding project						
Partner organisations						
Official duration of project	From:		To:		Period (months/years):	
Actual start date of project activities						
Brief outline of project's aims and objectives						
Location of project documents that provide the above type of information						

1.2 Data Management Plan (DMP) Information

1.2.1 Requirements for DMP

Note: Requirements imposed by an internal / external body

Is this section applicable to your project?	Yes:	<input type="checkbox"/>	No:	<input type="checkbox"/>
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Are there funding body requirements to produce a DMP? <i>If yes, give location of requirement documents/information</i>	Yes:	<input type="checkbox"/>	No:	<input type="checkbox"/>
Are there University requirements to produce a DMP? <i>If yes, give location of requirement documents/information</i>	Yes:	<input type="checkbox"/>	No:	<input type="checkbox"/>
Are there requirements from any other body to produce a DMP? <i>If yes, specify name of organisation(s) and location of requirement documents/information</i>	Yes:	<input type="checkbox"/>	No:	<input type="checkbox"/>

Name of organisation:	Location of requirement documents/information:

1.2.2 Allocation of Research Data Management (RDM) Roles and Responsibilities

Note: The PI (or sole researcher where applicable) is ultimately accountable for the RDM of the project. However, they can delegate RDM roles (and the responsibility for undertaking those roles/tasks) to other project team members.

Is this section applicable to your project?	Yes:	X
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RDM Role and Responsibility <i>(delete / add roles and responsibilities as required)</i>	Project Team Member
Completing the DMP	
Setting up the shared drive folder structure	
Writing RDM protocol documents	
Other <i>(specify)</i>	

1.2.3 DMP Version Tracking

Is this section applicable to your project?	Yes:	X
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Version number	Purpose / Change	Author(s)	Date
E.g. v1	DMP for proposal		
E.g. v2.0	Draft for team discussion when starting project		
E.g. v3	Agreed plan		
E.g. v3.1, v4	Minor/major changes to agreed plan		

Note: At certain stages in the project the then current DMP version may need to be officially signed off by the PI: see the end of the DMP template.

2. Ethical and Legal Issues

2.1 Ethical and Legal Risk Factors

Is this section applicable to your project?	Yes:	X
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Does your research involve the following activities?					
	Yes:		No:		Actions if Yes
Personal data of a living individual					Go to Section 2.3
Human participants (including: data and records; body parts, tissues and fluids)					Go to Section 2.2
Commercial sensitivities					Go to Sections 2.6 and 2.7
Data that comes under the Official Secrets Act					Go to Section 2.5
Animal subjects					Go to Section 2.5
Hazardous substances					Go to Section 2.5
Environmental issues					Go to Section 2.5
Other risk factor (<i>specify</i>)					

2.2 Ethical Issues Related to Research Involving Human Participants

Is this section applicable to your project?	Yes:		No:	
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Note the research data management issues associated with the ethical considerations of the project that are applicable, and briefly describe how you will deal with them	Issue applicable? (Yes / No)	Actions to address issue (delete / add actions as required)	Done
Informed consent			
Duty of confidentiality			
Duty of maintaining privacy <i>see Section 2.3</i>			
Consent for how data will be collected, used, processed, kept, disposed of			

Consent for data publication / re-use / sharing			
Other (<i>specify</i>)			
Is University ethics approval required?	Yes:		No:
<i>If yes, has approval been given?</i>	Yes:		Reference number:
<i>If yes, give the location of relevant documents</i>			
Is NRES approval required?	Yes:		No:
<i>If yes, has approval been given?</i>	Yes:		Reference number:
<i>If yes, give the location of relevant documents</i>			
Is another organisation's ethics approval required?	Yes:		No:
<i>If yes, specify the name of the organisation(s)</i>			
<i>If yes, has approval been given?</i>	Yes:		Reference number:
<i>If yes, give the location of relevant documents</i>			

2.3 Data Protection Act (DPA)

Note: Contact the University's Records and Information Manager for advice

Is this section applicable to your project?	Yes:		No:	
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Are you collecting personal data, or sensitive personal data, under the terms of the DPA?	Yes:		No:	
<i>If Yes, note the research data management issues that are applicable and briefly describe how you will deal with them</i>	Action to address issue (delete / add actions as required)			Done
Individual's consent to process their personal data <i>see informed consent and other consents in Section 2.2</i>				
Anonymisation of data				
Secure storage of personal data <i>see Section 5.2</i>				

DATUM: Managing your research data

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Secure destruction of personal data see Section 5.2		
Other (specify)		

2.4 Freedom of Information Act (FoIA)

Note: As an employee/student of a public sector organisation (i.e. a university) your data / documents could be subject to a FoIA request, though an exemption might be applicable in specific circumstances

Is this section applicable to your project?	Yes:	<input checked="" type="checkbox"/>
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Briefly note how you would plan for such an eventuality
Plan for eventuality (delete / add actions as required)
On receipt of an FoI request, contact the University's Records and Information Manager immediately
Other (specify)

2.5 Other Legal Issues

Is this section applicable to your project?	Yes:	<input type="checkbox"/>	No:	<input type="checkbox"/>
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Note the research data management issues associated with the legal considerations of the project (not covered in the other sections here) that are applicable, and briefly describe how you will deal with them	Issue applicable? (Yes / No)	Actions to address issue (delete / add actions as required)	Done
Official Secrets Act			
Animals (Scientific Procedures) Act			
Control of Substances Hazardous to Health Regulations			
Environmental Information Regulations			
Other (specify)			

2.6 Intellectual Property Rights (IPRs)

Is this section applicable to your project?	Yes:	X
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List the people/organisations who have IPRs to the data							
Name of organisation/person with IPRs	Name of dataset(s)	IPR <i>E.g. patent, trademark, design, copyright</i>	Do you have an agreement on how IPR is to be handled?				If yes, give the location of relevant documents
			Yes:		No:		
E.g. Named researcher	Project documents and outputs	Copyright			X		
E.g. Participants	Own words in interview	Copyright		X			Agreement to assign copyright to project researchers in signed consent forms (stored in Office X)

Actions required: <i>(delete / add actions as required)</i>	Done
Obtain a clear understanding with all the organisations involved in your research project about the project activities and the data that will be used/obtained	
Set up IPR agreements where applicable	
Ask participants to assign the copyright of their words to the project researchers (e.g. within the consent form)	
Other <i>(specify)</i>	

2.7 Other agreements

Is this section applicable to your project?	Yes:		No:	
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List here other agreements that you have established about your research data		
Name of organisation	Type of agreement	Location of documents
E.g. Company X	Non-disclosure agreement	Signed agreement in PI's office

Actions required: <i>(delete / add actions as required)</i>	Done
Obtain a clear understanding with all the organisations involved in your research project about the project activities and the data that will be used/obtained	
Set up agreements where applicable	
Other <i>(specify)</i>	

3. Data Reuse and Sharing

3.1 Data Reuse

*Note: use by researchers in the project team for a **different** project*

Is this section applicable to your project?	Yes:		No:	
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Do you plan to reuse the data?	Yes:		No:		Don't know yet:	
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Actions required if you plan to reuse the data: <i>(delete / add actions as required)</i>	Done
Document these decisions (see Section 7.1)	
Obtain the necessary consent from the participants	
Obtain any necessary permissions from other individuals/organisation associated with the project	
Note any restrictions on how this data can be reused	
Ensure you have all the necessary contextual information	
Plan data storage, security and preservation after the end of this project (see Section 7.2)	
Other <i>(specify)</i>	

3.2. Data Sharing

*Note: use by other people **not** involved in the project, e.g. giving your data to an individual researcher; placing your data in the public domain through the Web, a publication or a repository.*

Is this section applicable to your project?	Yes:		No:	
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Do you plan to share the data?	Yes:		No:		Don't know yet:	
Are there any requirements for you to share your data?	Yes:		No:			
<i>If yes, give location of requirement documents/information</i>						
List any other reasons why you want to share the data						
List any reasons why you will NOT share the data						

Actions required if you are going to share the data: <i>(delete / add actions as required)</i>	Done
Document these decisions (see Section 7.1)	
Obtain the necessary consent from the participants	

Obtain any necessary permissions from other individuals/organisation associated with the project	
Establish any restrictions on how/when this data can be shared	
Ensure you have all the necessary contextual information	
Plan data storage, security, preservation and access after the end of this project (see Section 7.2)	
Other (<i>specify</i>)	

4. Data Collection and Analysis

Note: data collection is a generic term used here to encompass (i) the use of existing data and (ii) the creation of new data and its capture in some medium and some system for use and storage.

4.1 Using Existing Data

Is this section applicable to your project?	Yes:		No:	
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Are you going to look for existing data in repositories, publications, etc.? <i>If yes give name / location of data source(s)</i>	Yes:		No:	
Is there a requirement for you to look for existing data in repositories? <i>If yes, give the location of the requirement documents/information</i>	Yes:		No:	
Are you using existing data supplied by other researchers/organisations? <i>If yes give name / location of data source(s)</i>	Yes:		No:	
Are you reusing your own data / data of other research team members? <i>If yes give name of dataset(s)</i>	Yes:		No:	
If you are using existing data, what conditions are there on its use? (give brief details)				
Dataset:	Conditions of use:			

4.2 Creating and Capturing New Data

Is this section applicable to your project?	Yes:		No:	
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List briefly the data creation and data capture methods you will use; what data processing will be required; what equipment, hardware and software you will need; and what file types you will be using.				
Creation Method	Capture Method	Data Processing	Equipment, hardware, software	File types
E.g. Interview	Audio tape	Recording	Audio recorder	.wav
		Transcription	PC, Microsoft word	.docx
		Anonymisation	PC, Microsoft word	.docx

	Written notes	Writing	Paper notebook	N/A
		Scanning into electronic form	MF Photocopier	.pdf

Note: This will also determine the metadata that you will be automatically creating through the hardware/software you are using, or need to create. See Section 4.5

Actions required: <i>(delete / add actions as required)</i>	Done
Writing protocols (e.g. transcription, anonymisation)	
Deciding if the raw data (e.g. audio tapes, un-anonymised transcripts) needs to be kept, or destroyed to keep personal details private	
Keeping an audit trail between the different versions of the same data (e.g. raw, transcribed, anonymised)	
Other <i>(specify)</i>	

4.3 Data Analysis

Note: The analysis carried out on your data (whether you are using existing data or creating new data)

Is this section applicable to your project?	Yes:	<input checked="" type="checkbox"/>
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List briefly the analysis methods you will use; what equipment, hardware and software you will need; and what file types you will be using.		
Analysis Method	Equipment, hardware, software	File type
E.g. Interview data: Qualitative analysis - identification of themes, relationships between themes	NVivo	.nvp

Note: This will also determine the metadata that you will be automatically creating through the hardware/software you are using, or need to create. See Section 4.5

Actions required: <i>(delete / add actions as required)</i>	Done
Writing analysis protocols	
Keeping an audit trail of all the different versions of the data as it undergoes processing and analysis	
Other <i>(specify)</i>	

4.4 Contextual Information

*Note: Project-level documentation providing an **overview** of the research context and design, data collection / preparation / analysis methods, results or findings. This makes your data meaningful to yourself, and to others.*

Is this section applicable to your project?	Yes:	X
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List briefly what contextual information will be needed to make your data meaningful, how you will produce/capture this information, and where it will be located		
Contextual information	How produce /capture	Location

Actions required: <i>(delete / add actions as required)</i>	Done
Write up project documentation (e.g. proposal, methodological approach) for wider consumption	
Ensure all your protocols are written up	
Ensure that you have templates of all your data collection tools (e.g. interview schedule, consent form)	
Other <i>(specify)</i>	

4.5 Metadata

Note: Information about the data that gives it context and meaning.

Is this section applicable to your project?	Yes:	X
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For each type of data / project document you produce, list what metadata you will need			
Data/document type	Metadata automatically created	Additional metadata needed	Creation/capture of additional metadata

Actions required: <i>(delete / add actions as required)</i>	Done
Write up protocols for how you will create/capture the additional metadata	
Set up methods to automatically collect metadata (e.g. document templates in Word)	

Other (<i>specify</i>)	
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5. Short term Data Storage

Note: for the duration of the project)

5.1 Data Storage

Is this section applicable to your project?	Yes:	X
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Specify how much data / associated documents in paper form you anticipate you will collect (e.g. number of filing cabinet drawers)				
Will you have enough physical resources to accommodate this?	Yes:		No:	
Specify how much data / associated documents in electronic form you anticipate you will collect (e.g. MB)				
Will you have enough computing resources to accommodate this?	Yes:		No:	
If you don't have enough physical / computing resources how will you deal with this?	Actions required:			Done
Where will you store the data/documents?				
Storage location	Data/documents	Person responsible		
University offices				
University PC				
University U: drive				
University shared drive:				
Home office				
Home PC				
Laptop				
Portable media (e.g. data stick, external hard drive)				
Cloud service (e.g. Dropbox, Google Docs)				
Other (specify)				

Actions required: (delete / add actions as required)	Done
Obtain required physical/electronic storage space	
Ensure all project team members can access the storage locations as required	
Other (specify)	

5.2 Data Security

Is this section applicable to your project?	Yes:	X
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How will you ensure the security of the data/documents?		
Activity	Security actions required:	Done
During data collection		
During data transfer		
Whilst stored		
During data access		
At data destruction		
Other (<i>specify</i>)		
How will you ensure the security of personal / sensitive data?		
Activity	Security actions required:	Done
During data collection		
During data transfer		
Whilst stored		
During data access		
At data destruction		
Other (<i>specify</i>)		

Actions required: (<i>delete / add actions as required</i>)	Done
Document your information security processes and procedures, particularly for personal/sensitive data	
For data stored outside the University, put into place back up procedures	
Other (<i>specify</i>)	

5.3 Data Retention and Destruction

Is this section applicable to your project?	Yes:	X
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Are there any types of data/documents you are required to destroy during the project (e.g. because of the DPA)?	Yes:		No:		
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<i>If yes, briefly list what types of data/documents these are and when you will destroy them</i>				
Types of data/documents	Destruction period			
E.g. Audio records of interviews: as stated in the consent forms these will not be kept after transcription	Destroyed after transcription			
Are there any types data/documents of a transitory nature that can be destroyed during the project	Yes:		No:	
<i>If yes, briefly list what types of data/documents these are and when you will destroy them</i>				
Types of data/documents	Destruction period			
E.g. Meeting agenda	Destroyed after minutes written			

Actions required: <i>(delete / add actions as required)</i>	Done
Appraise the data/documents you will be creating to identify the ones that have to be/can be destroyed during the project	
Document these data/document types and their destruction periods	
Monitor that items are destroyed when they should be. See Section 5.2 for secure destruction methods	
Other <i>(specify)</i>	

5.4 Data Preservation

Note: with electronic data, hardware/software can be updated any time during a project and this might affect the accessibility of your stored data/documents

Is this section applicable to your project?	Yes:		No:	
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Who will be responsible for identifying the need to preserve the data?	
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Actions required: <i>(delete / add actions as required)</i>	Done
Set up a process of watching for changes in hardware/software that might affect your stored data/documents	
Set up a plan for how you will preserve your data/documents if the need arises	
Other <i>(specify)</i>	

6. Dissemination

Note: of outputs and publications: data is covered in Section 3

Is this section applicable to your project?	Yes:	X
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Are there any requirements for how your outputs/publications are to be disseminated?	Yes:		No:	
<i>If yes, give location of requirement documents/information</i>				
Output/Publication	Dissemination requirement			
E.g. Report	Commercially sensitive: for internal dissemination only			
E.g. Report, document	Make available under a creative commons license			
E.g. Journal article	Publish in an open access source			

7. Long -term Data Storage

Note: i.e. after the end of your project.

7.1 Data Retention and Destruction

Is this section applicable to your project?	Yes:		No:	
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See also Sections 3.1 (data re-use) and 3.2 (data sharing)

Are there any requirements for your data (and associated documents) to be kept long term, in addition to those noted in Section 3.2?	Yes:		No:			
If yes, give location of requirement documents/information						
Are there any other reasons for your data (and associated documents), or parts of your data, to be kept after the end of the project, in addition to decisions made in Sections 3.1 and 3.2?	Yes:		No:		Not sure yet:	
Data to be retained: briefly give reasons (associated with the relevant data/documents) and how long the data/documents will be kept.						
Data/documents	Reason for retention			Retention period		
Data to be destroyed: briefly give reasons (associated with the relevant data/documents)						
Data/documents	Reason for destruction					

Actions required: (delete / add actions as required)	Done
Appraise the data/documents to identify those that need to be retained and those that can be destroyed. (see also decisions made in Sections 3.1 and 3.2)	
Document these data/document types and their retention/destruction periods (including those for Sections 3.1 and 3.2)	
For storage of retained data see Section 7.2	
Monitor that items to be destroyed are destroyed. (See Section 5.2 for secure destruction methods)	
Other (specify)	

7.2 Data Storage

Is this section applicable to your project?	Yes:		No:	
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Where will the retained data/documents be stored?		
Data	Location	Responsible person/organisation
E.g. PhD thesis	Northumbria Research Link http://nrl.northumbria.ac.uk/	Northumbria University
E.g. ESRC project data	UK Data Archive http://www.data-archive.ac.uk	UKDA
E.g. Data and project	University shared drive for project	PI, Northumbria University

Actions required: <i>(delete / add actions as required)</i>	Done
<i>For data/documents placed in a repository etc:</i>	
Ensure you have all the necessary consent, permissions, contextual information etc. (see also actions for Sections 3.1 and 3.2)	
Look at the repository requirements for data deposit and plan how you will meet these requirements	
<i>For data/documents you are going to be responsible for:</i>	
Draw up a plan for how manage the data/documents for the duration of the retention period, covering storage location, security, preservation and (where applicable) access for other users	
Other <i>(specify)</i>	

8. Resources for RDM

Note: Additional resources required for implementing RDM activities.

Is this section applicable to your project?	Yes:		No:	
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What additional resources do you need to manage your data and associated documents?		
Resources required	Plan to obtain resources	Obtained

Signing Off

Stage of Project	PI Signature	Date Signed
Completion of project proposal		
Completion of planning stage of project		
End of project		