Data Management Plan

(Based on the DCC template http://dmponline.dcc.ac.uk/)

General notes:
1. In your first draft you may not know the answer to all the questions. These will be issues for you to discuss with your supervisory team
2. The DCC provide guidance on completing their more detailed DMP. See revised *Checklist for a Data Management Plan Version 3.0*
    http://dmponline.dcc.ac.uk/documents

1. Introduction and Context

1.1 Project Information

Name of student/researcher(s)	Sue Childs; Researcher, Northumbria University; Member, Contact a Family
Name of PhD project/project	Judge: Web sites for Health
Funding body(ies)	The Health Foundation
Partner organisations	Contact a Family
Duration	From: 2002 To: 2003 Period (years): 1
Aim of the research *e.g. from your IPA; from the project proposal*	To develop guidelines for judging the quality of health information Web sites

1.2 Data Management Plan (DMP) Information

Are there funding body requirements to produce a DMP?	Yes	No	Don't know X
If yes, attach details			
Are there University requirements to produce a DMP?	Yes	No X	Don't know
If yes, attach details			
Are there requirements from any other body to produce a DMP?	Yes	No	Don't know X
If yes, attach details			
Date of creation of DMP	At the start of the project in 2002		
Target audience for DMP *e.g. supervisory team, organisation as above*	Research team		

2. Ethical and Legal Issues

2.1 Ethical Issues

Are there ethical issues related to the data? *e.g. how it will be collected / created, captured* *e.g. if it will be reused by yourself in the future, or shared with others*	Yes X	No	Don't know
If yes, list these issues and how you will deal with them *e.g. future reuse / sharing of data - participants will be asked if they agree to this on the consent form*	Confidentiality. The project will be clearly explained to each participant. Personal details and health details will not be collected from participants. Participants will be informed that data collected from the focus group discussions will be anonymised and not published; if any personal information is shared during the discussions it will be deleted as it is not the intention of the project to collect such data or publish it. Participants will be asked to sign a consent form which specifies what data will be collected and how it will be managed and used. Note: future reuse / sharing of data is not applicable (see later)		
Are there privacy issues related to the data? *e.g. the collection of personal details or of organisational data*	Yes X	No	Don't know
If yes, list these issues and how you will deal with them *e.g. personal details in interviews - transcripts will be anonymised*	Personal views from focus groups will be anonymised and participants will be requested to observe the same confidentiality as the researcher i.e. comments made will be non-attributable and the identity of the participants will not be revealed. Personal details and health details will not be collected from participants; any personal information/a personal issue is shared during the discussions it will be deleted as it is not the intention of the project to collect such data or publish it. 'Contact a Family' will use their membership list to engage focus group participants. No personal details of participants will be held by Northumbria University.		

2.2 Legal Issues

<table>
<tr><td colspan="4">Research data and the Data Protection Act
<i>The University is subject to Data Protection legislation and as such you must remember that your data may be covered by the terms of the Data Protection Act. If personal data is collected the requirements of the Data Protection Act must be observed. These include the explicit consent of participants in accordance with the requirements for collecting and using sensitive personal data. Individuals have rights of access under the Act to their personal information. You may receive a subject access request from a research participant asking what personal information you hold about them and providing them with a copy of the information. You have a limited time in which to respond and should seek assistance from the University's DP/FoI Office in dealing with any requests.</i></td></tr>
<tr><td>Are you collecting sensitive personal data under the terms of the Data Protection Act?
<i>e.g. medical details - specific consent for each data use will be required, including for any future research purposes as a result of depositing the data on open access e.g. in the University repository, with the ESDS or other repository.</i></td><td>Yes</td><td>No X</td><td>Don't know</td></tr>
<tr><td colspan="2">If yes, list these issues and how you will deal with them
<i>e.g. anonymising personal data; retention and destruction of the data</i></td><td colspan="2"></td></tr>
<tr><td colspan="2">Who owns the intellectual property right (IPR) to the data?
<i>e.g. yourself, the University, a funding body, another person</i></td><td colspan="2">The research data is owned by Northumbria University.

<i>Note: Neither the Contact a Family charity nor the Health Foundation, who funded the research, wants the research data. The Foundation requires the output, i.e. the advice / website, to be made freely and publicly available by Northumbria University.</i></td></tr>
<tr><td colspan="2">If more than one person owns the IPR, what agreement do you have on how this is to be handled?
<i>e.g. set out within the terms of the project agreement and if further work is required to realise the full IPR potential then this will be further discussed and agreed by the parties.</i></td><td colspan="2">Any resulting IPR relating to the output will be equally shared between Northumbria University and the Contact a Family charity.

<i>Note: at the time of the project there was no written agreement</i></td></tr>
<tr><td colspan="4">Research data and the Freedom of Information Act
<i>The University is subject to Freedom of Information legislation and as such you must remember that your data may be covered by the terms of the Freedom of Information Act which would mean that individuals could request information from your research. This does not mean that information would be made available as exemptions do exist. In this instance you would be assisted by the University's DP/FoI Office.</i></td></tr>
</table>

PhD research is a grey area. Any data held by the University (e.g. by supervisors or in packages such as Endnote) would potentially be covered. Any data held by you would also be covered if you are funded by the university or a public body covered by the terms of the Act. It is unlikely that data would be released prior to the completion of the PhD because of the impact this would have on you. To release such data would undermine the PhD structure and would not be in the public interest. However, each case would need to be judged on its own individual merits.

Is your PhD/research funded by a public body? *e.g. a Research Council, the University, a health trust*	Yes X	No	Don't know
If yes, how will you deal with this? *e.g. establish agreements surrounding the expectations for your research and its future use; obtain consent to make the research available for the future through the ESDS /other archive.*	Both 'Contact a Family' and the 'Health Foundation' are independent charities which are not subject to the terms of the Freedom of Information legislation. However any data held by Northumbria University is subject to the Act. Any FOI requests received would be reviewed in accordance with the requirements of the Act and data may potentially be available depending on the requests but it is unlikely due to the nature of this project. All FOI requests will be handled through Northumbria University's FOI Office		
Is your PhD/research funded by *a third party, other than a public body*? *e.g. a company*	Yes	No X	Don't know
If yes, how will you deal with this? Do you have any agreements surrounding the expectations for your research and its future use? *e.g. inform research participants you are sponsored by Company X; ensure Company X Manufacturing obtains an anonymised data set from your research*			

3. Data Reuse and Sharing

3.1 Data Reuse
(i.e. use by yourself beyond the end of your PhD/project)

Will you reuse the data?	Yes	No X	Don't know
Are there any reasons why you will NOT reuse your data?	Yes X	No	Don't know

If yes, please give reasons	Data will be collected with a very focused aim in mind i.e. the output (advice / website). Therefore the output is in a sense the surrogate. Additionally, in the fast changing world of the Web, data on such a topic rapidly becomes out of date.

3.2. Data Sharing
(i.e. use by other people not involved in your PhD/project)

Are there any requirements for you to share your data? *e.g. from funding bodies*	Yes	No X	Don't know
Are other people likely to be interested in 'using' your data?	Yes	No X	Don't know
Are there reasons why you will NOT share your data? *e.g. all the data, or certain parts of the data*	Yes X	No	Don't know
If yes, please give reasons	Data will be collected with a very focused aim in mind i.e. the output (advice / website). Therefore the output is in a sense the surrogate. Additionally, in the fast changing world of the Web, data on such a topic rapidly becomes out of date.		
How will you make the data available? *e.g. on request, via the Web, via the University repository, via a national repository*	Not applicable		
When will you make the data available? *e.g. at end of your PhD, with an embargo of x years after the end of your PhD (e.g. for you to have first-use, or for political / commercial reasons)*	Not applicable		
Will there be any restrictions on how people can use this data? *e.g. how it can be used (e.g. non-commercial use only), who can use it (e.g. publicly funded researchers only), confidentiality, acknowledgements*	Yes	No	Don't know Not applicable
If yes, please give details			

4. Data Collection

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

4.1 Data Characteristics

What types of data will you be collecting for your PhD/project?			
Qualitative	Yes X	No	Don't know
Quantitative	Yes	No X	Don't know

4.2 Using Existing Data

Is there a requirement for you to look for existing data in repositories? *e.g. from the funding body*	Yes	No X	Don't know
Are you going to look for existing data in repositories?	Yes	No X	Don't know
Are you using existing data supplied by your supervisory team / research group?	Yes	No X	Don't know
Are you reusing your own data?	Yes	No X	Don't know
If you are using existing data, what conditions are there on its use?			

4.3 Creating new data

How will you create your data? *e.g. interviews, focus groups, questionnaires, observations, experiments, simulations*	Literature review; questionnaires; focus groups
What associated materials will you have? *e.g. project information sheets, consent forms*	Project information sheets, consent forms

4.4 Data Capture

How will you capture your data? *e.g. transcribing hand written notes / electronic files – text, spreadsheet, database / audio files or tapes / videos / research diary. For each explain the capture process. For instance, if you're doing observations, how will they be recorded, on what media? (e.g. in a dated and numbered paper field notebook.) What kind of equipment will you use and what software. If you plan to use proprietary software, could you export to an Open format so the data can be reused more widely? You may also wish to cover: content selection; instrumentation; technologies and approaches chosen; file naming conventions; versioning; meeting user needs.*	Research diary: paper notebook of team meetings, actions, thoughts, ideas Literature review: references in an Endnote database; Word documents with search details (databases, strategies, results) and reviews. Questionnaires: paper originals; responses captured in an Excel spreadsheet. Analysis (e.g. charts) within the spreadsheet. Focus groups: audio tapes (analogue), transcribed to Word documents (anonymised). Analysed data: synthesis of themes captured in Word documents Consent forms: signed paper documents
For each type of capture method, what digital file formats will you use and why? *e.g. electronic text/word document (.doc/.docx); MS Excel (.xls/.xlsx) or MS Access (.mdb/.accdb) for capturing questionnaire responses; NVivo (.nvp / .rtf / .txt) or ATLAS.ti (.hpr6) for analysis, as these are in widespread use, the University has the relevant software licences or they're accepted standards in your field, etc. Decisions relating to file formats may also be made with recourse to staff expertise, a preference for Open formats, accepted standards, or widespread usage with a given community.*	Analogue formats – paper; audio tapes Endnote database (.enl) MS Excel spreadsheet (.xls; and comma-delimited .csv) MS Word for text documents (.doc) These formats are in widespread use, the University has the relevant software licences or they are accepted standards in this research discipline

4.5 Contextual Information

Is the data you will be capturing/creating self explanatory or understandable in isolation?	Yes	No X	Don't know
If No, what contextual details will be needed to make your data meaningful? *e.g. IPA, MPP, project information sheet, methodology description, characteristics of participants, description of research setting, research instruments, organisational / social / political background*	Project information sheet, methodology description including description of research setting, data collection instruments		

How will you produce/capture this contextual information, and in what format *e.g. writing project information sheet in Word format, obtaining some participant characteristics during interviews (via audio records then transcription into a Word document, then transferring the details into a database,) obtaining background information from reading and discussion and keeping it in your head*	Capture all in MS Word documents

4.6 Metadata

Metadata is information that makes your new data usable. This includes: (i) descriptive metadata i.e. information used to search for, identify and locate objects such as the title, author, keywords; (ii) structural metadata i.e. information that enables the objects to be displayed and navigated such as file formats, character sets used, hardware/software, information to establish meaning of the data (e.g. raw numbers are dates, temperature in degrees Celsius); (iii) administrative metadata i.e. management/technical information such as rights management.

For each type of data / material you produce what metadata will you need? *e.g. for an interview you would need: interviewer name, participant name / code, date of interview, time / duration of interview, name / code of location of interview, 'name' of interview schedule used, name(s) of interview record(s) obtained (e.g. audio record, hand written interview notes), confirmation that consent form obtained, name of transcribed record, name of anonymised transcribed record*	Not applicable as data not being kept
Where would you record his metadata? *e.g. in header / footer of Word documents, standard document templates, database (e.g. Access, Excel, NVivo, ATLASti)*	
Can you automate the creation of any of this metadata? *e.g. via document properties in Microsoft Word*	
What metadata standards could you use? *e.g. Dublin Core http://dublincore.org; consistent file naming convention*	

5. Short term Data Storage

(i.e. for the duration of your PhD/project)

5.1 Anticipated data volumes

How much data / associated materials in paper form do you anticipate you will collect? *e.g. one drawer of a filing cabinet*	One drawer		
Will you have enough physical resources to accommodate this?	Yes X	No	Don't know
How much data / associated materials in electronic form do you anticipate you will collect? *e.g. xMb*	80Mb		
Will you have enough computing resources to accommodate this?	Yes X	No	Don't know
If you don't have enough physical / computing resources how will you deal with this?			

5.2 Data Storage
(Note: You may need different storage decisions for different types of data, e.g. paper, electronic)

Where (physically) will you store the data? *e.g. in the University, at home*	University only – personal U: drive; anonymised data on home PC
On what media will you store the data? *e.g. paper research diary, paper signed consent forms, electronic files*	Paper; audio tape; digital
Whose responsibility is the storage of the data? *e.g. yours, the University, another organisation* *Note: more than one person / body may be responsible*	Sue Childs; Researcher

5.3 Data back up

How will you back up the data? *e.g. depend on the University system, copy files to an external storage device yourself* *Note: you may have a number of back-up procedures*	University backup of my U: drive and email account Local backup on external hard drive
How regularly will back-ups be made?	In line with the University policy

e.g. every day	Daily or weekly dependent on data collection activity
Who will be responsible or making the back-ups? *e.g. you, the University IT services* *Note: different people may be responsible for different back-up procedures*	University IT Services Sue Childs

5.3. Data Security

How will you ensure the security of your data? *e.g. addressing use / storage of data at home, storage of data on mobile devices, transmitting data files via email,* *Note: You might address use of data at home by (a) never using data at home, (b) only using data on the University server via 'desktop anywhere', (c) only taking anonymised data home for use, (d) only taking encrypted data home for use, (e) only carrying data on id/password controlled devices, (f) some combination of these approaches*	User id / password required to access U: Set a password for backup on mobile storage device Only taking anonymised data home for use
How will you ensure the security of personal / sensitive data? *e.g. use of participant codes / pseudonyms, anonymisation of data, encryption of data*	The data will be anonymised and summarised to cover themes related to the research question. Any mention of personal health issues will not be included in the anonymised data.

6. Long -term Data Storage

(i.e. after the end of your PhD/project)

(Note: retention means keeping the data yourself/locally/in a repository, archive, other service for whatever period of time. Destruction means getting rid of your data e.g. by deleting it, shredding it, burning it or by some other physical method)

Are there any requirements for your data to be kept long term? *E.g. funding body requirements for retention periods sharing, University regulations for retention periods*	Yes	No X	Don't know
If yes, attach details			

Is there any reason for your data, or parts of your data, to be kept after the end of your PhD/project? *e.g. for 1 to 2 years to write journal articles, only the anonymised data - raw data can be destroyed, data must be destroyed under NHS research committee requirements*	Yes X	No	Don't know
If yes, please give reasons (associated with the relevant data) and how long the data will be kept	Anonymised, summarised data will be kept for 1 year for writing articles		
If no, please give reasons (associated with the relevant data)			
Where will you keep the data that is retained? *e.g. at home, on the Web, in the University repository, in a national repository (give name)*	U: drive and backup on external device		
If you are responsible for the long term storage of your data, how will you ensure it is preserved? *e.g. ensuring electronic files can be read in new versions of software*	N/A		
How will you destroy your data in an appropriate manner? *e.g. shredding personal data in paper form, wiping electronic files*	Shred personal data in paper form; recycle non-personal data in paper form; wipe electronic files/re-format mobile electronic devices		

7. Resources

What resources do you need to be able to implement your DMP? *e.g. software tools, equipment, amount of computing storage space*	None

Student/Researcher signature:

Date signed: