AHRC Data Management Plan Guidance

Introduction

A Data Management Plan (DMP) is required by AHRC for all Leadership Fellow, Research Grant and Follow on Funding applications (but not for Research Networking grants). Plans should be completed with reference to the AHRC Data Management Plan guidance in the Attachments section of the Research Funding Guide.

The plan should be written in Arial or New Times Roman font size 11 with 2 cm margins, and must be no more than two pages long. It should be entitled 'Data Management Plan', saved as 'Surname_DMP', and submitted as a Je-S attachment.

To assist you in completing a plan you can use a tool called DMPonline. This tool enables you to generate and complete an AHRC DMP template online. The template includes detailed prompts and guidance to help you complete each section of the plan. Plans can be saved, shared with co-applicants, and exported for incorporation into the grant application.

All plans must be reviewed by the Research Data Manager, prior to submission. Draft plans can be sent to the Research Data Manager directly or via your Research Development Manager and should be provided no later than 5 working days before the application deadline. You are encouraged to contact the Research Data Service earlier in proposal development for preliminary guidance on completing the plan.

General guidance on data management planning is available on the Research Data Management website.

Contact: Research Data Manager: researchdata@reading.ac.uk / 6161

What should the DMP consider?

You should consider new data that may be collected or created in the course of your research. Relevant activities might involve:

- Collecting or generating primary data by experimentation, observation, modelling, interview, audio/video recording or other methods, or by the processing of existing data sources;
- Converting materials into new media or formats, e.g. digitising a collection of texts or artefacts for online publication;
- Processing digital materials to enable their representation, analysis, interrogation or use, e.g. encoding texts in XML as part of an online collection; or creating a relational database to organise a collection of data.

Applicants are required to address the points listed below.

1. Briefly introduce the types of data the research will create. Why did you decide to use these data types?

Provide a brief enumeration of the data you will create or collect in the project. You should explain how the data will serve to answer your research questions. You should try to give an indication of the quantity of data that will be collected, e.g. '30 one-hour interviews will be conducted with [describe participants] in order to [state purpose].'

2. Give details on the proposed methodologies that will be used to create the data. Advise how the project team selected will be suitable for the data/digital aspects of the work, including details of how the institution's data support teams may need to support the project.

Explain how the data will be created or collected and what instruments and methods will be used. 'Interviews will be audio-recorded and converted into anonymised text file transcriptions for purposes of analysis and long-term sharing. All interviews will be conducted and transcribed by the Research Assistant, who will be trained by the PI in interview and transcription techniques and use of equipment. An interview schedule consisting of a standard set of questions will be developed for use in all interviews, and transcription guidelines will be agreed by the PI.'

You should explain how any relevant skills will be provided by the project team, identifying specific individuals and their expertise where relevant:

- Where specific skills are required to collect and manage data, for example in producing film material or in encoding text;
- If your project will involve developing a digital resource to collect or manage data, e.g. a database or a web resource.

The University's Research Data Manager provides advisory support and manages the Research Data Archive. DTS provides data storage and compute services. Special technical support requirements should be discussed with the Research Data Manager and/or your DTS Business Partner.

3. How will the data be stored in the short term?

a. What backup will you have in the in-project period to ensure no data is lost?

Indicate what the primary storage for data will be. Data collected/held at the University should be stored using University-managed infrastructure, which will provide data security, replication in separate data centres, automated backup and file recovery. For the different options available, and information about costs, please read the guidance here.

If you have computing-intensive requirements, custom specifications of CPU, memory, storage and GPU can be purchased from the University on a pro rata basis. Information is available in the Academic Computing Team website.

Storage costs should be based on the volume of data to be generated/collected in the project, and should be identified on the application as a Directly Incurred cost.

4. How the data will be stored in the long term

a. Where have you decided to store it, why is this appropriate?

b. How long will it be stored for and why?

c. Costs of storage – why are these appropriate? Costs related to long term storage will be permitted providing these are fully justified and relate to the project Full justification must be provided in Justification of Resources (JoR)

Primary data that support project findings should be preserved using a data repository. All University members have the option of using the University of Reading Research Data Archive, which will preserve and enable access to data in the long-term, and for a minimum of 10 years.

Up to 20 GB of data per project can deposited at no charge. Deposits greater than 20 GB may be subject to a charge and must be agreed in advance. If you intend to deposit more than 20 GB of data in the Archive, contact researchdata@reading.ac.uk to discuss.

There may be domain-specific services that are more suitable for the preservation of your data, such as the Archaeology Data Service (ADS) for archaeological data. You are encouraged to use these where they are appropriate. You should first check whether there is a cost to use the service (as there is in the case of the ADS, for example), and contact the service if necessary to obtain an estimate of the likely archiving charge, for inclusion in the project budget. It must be possible for any archiving charges to be met within the grant period.

5. How the data will be shared and the value it will have to others

a. How the data will enhance the area and how it could be used in the future?

b. Releasing the data – advise when you will be releasing and justify if not releasing in line with AHRC guidelines of a minimum of three years. If the data will have value to different audiences, how these groups will be informed?

c. Will the data need to be updated? Include future plans for updating if this is the case.

d. Will the data be open or will you charge for it? Justify if charging to access the data

e. Financial requirements of sharing – include full justification in the JoR

State how the data may be of value to others, considering potential beneficiaries among academic researchers, business, policy-makers and the general public, and also how these beneficiaries might be informed about the existence of the data and enabled to access them.

Data should be made publicly accessible wherever possible no later than publication of any findings that rely on them. If you do not plan to make data available at this time, you should explain your reasons for this. If data are dynamic over a period of time extending beyond the end of the project, you should consider the option of releasing data in stages.

If data will be made available via a web-hosted resource developed in the project, you should explain this, and how you intend to ensure continued accessibility of the resource beyond the end of the project. In projects that develop web-based resources, much of the value of the data created or collected consists in their presentation and continued

accessibility within the resource. You should aim to sustain the resource for a minimum of three years beyond the end of the project, but this may not be possible if the costs of ongoing support cannot be incurred before the end of the grant or absorbed by one or more of the institutions participating in the project.

Ongoing support of a resource may have cost implications in terms of maintenance, infrastructure and upgrade (such as the need to modify aspects of a web interface or software application in order to account for changes in the technological environment). In order to minimise sustainability costs, it is generally better that the institution responsible developing the resource also take on its longer-term support.

Consideration should always be given to preserving the data by deposit in a suitable data repository, even where the continued accessibility of a resource can be guaranteed. Preservation of the data may not preserve the accessibility or immediate usability of the resource in which the data were presented, but it will enable the data to be retrieved and the resource recreated or further developed in the future.

As a rule data should be made freely accessible, and most research data repositories do not charge for access to data. If there is any intention to charge for access to data, this must be clearly justified, e.g. by the commercial aims of the project or the high cost of providing access.

6. Ethical and Legal considerations

a. Any legal and ethical considerations of collecting the data

b. Legal and ethical considerations around releasing and storing the data – anonymity of any participants, following promises made to participants

If you are collecting data from research participants you will need to consider how personal data will be managed in accordance with the requirements of the Data Protection Act, and how participant confidentiality will be guaranteed. You should only collect the minimum personal and confidential data necessary to answer your research questions, and ensure these are stored securely and shared securely only with authorised persons for the stated research purpose.

You should also consider how you will maximise opportunities for sharing data derived from research participants, e.g. by anonymisation.

The default approach you should adopt with research participants is to request consent for the data they provide to you to be shared openly in an anonymised form. You should use your information sheet and consent form to obtain informed consent for this. The UK Data Service provides some sample consent forms including data sharing consent request formulae that could be adapted for this purpose.

Guidance on the use of personal data in research is provided by Information Management and Policy Services.

Research participants providing qualitative data, such as spoken words in an interview, photographs or other works created by themselves, will hold copyright in these materials. In this case it is advisable to ask participants to transfer copyright in the materials to the

University, or to grant the University a licence to use and publish the materials. The consent process can be used for this purpose. For practical purposes, it is preferable to obtain a transfer of copyright to the University, as this allows the materials to be published under an open licence. If the research participants do not wish to transfer copyright in their materials, a licence grant to the University is acceptable.

The UK Data Service model consent form provides an example of seeking consent for transfer of copyright.

Confirmation of institutional compliance

You will be required to complete a Yes/No box on the application form to confirm that the University has considered and will comply with the points listed below. You do not have go into any further detail in explanation of these points, but for your information some key pointers have been provided.

AHRC REQUIREMENT	GUIDANCE
The proposal has been written in line with your institution's data management policy	UoR RDM Policy: Researchers are expected to preserve data that support project findings and to make them accessible to others where possible by deposit in a suitable data repository.
You have consulted with the institution's data support (e.g. library services, DTS)	It is University policy that where a funder requires a DMP to be submitted as part of an application for funding, it must be reviewed by the Research Data Manager before submission.
The institution is able to store the data appropriately during the lifecycle of the grant, the relevant people have been consulted and this has been considered and agreed	Information about University storage services is provided in Section 3 above. Proposed storage solutions will be considered in the internal DMP review.
The institution has considered all the risks, and storage will be in line with the institution's data management policy (provide a link to the policy if applicable)	Proposed storage solutions will be considered in the internal DMP review.
The institution will ensure the format/quality of the data (how will you make it as easy as possible to access the data?)	Proposed data formats and quality assurance will be considered in the internal DMP review.
You have consulted the relevant people in your organisation and you are aware of any IP considerations	This condition is met through review of the DMP by the Research Data Manager. IP considerations will be covered in the internal DMP review.

You have considered any data protection requirements	Data protection requirements will be considered in the internal DMP review.
You have considered the legal considerations of collecting and releasing the data and have consulted with appropriate support	This condition is met through review of the DMP by the Research Data Manager. Legal considerations of collecting and releasing data will be covered in the internal DMP review.
The data collection, creation, storage and dissemination will conform to the institution's ethical policy	All research involving participants is subject to prior ethical approval by the School's or the University's Research Ethics Committee. Research ethics guidance.
We expect the Data Management Plan will be revisited each year during the award and as long as is required following the award to take into account any potential changes in (for instance) technology/IP/institutional data management policy/copyright to ensure legal compliance.	There is no formal internal review of DMPs for funded projects. PIs are expected to maintain their DMPs as living documents, so that they remain up-to-date throughout the course of the project. Guidance and support from the Research Data Manager are available on request.