



# The Planning or the Plan ? Balancing Benefits



With thanks to Sarah  
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because good research needs good data

# Lessons from History

## **1 – Helmuth (Karl Bernhard Graf) von Moltke the Elder**

# What we learn from history

- “No battle plan survives contact with the enemy”
  - Helmuth von Moltke the elder
- “... I have always found that plans are useless, but planning is essential”
  - Dwight D. Eisenhower
- The data management plan is an evolving object, along with the research

# Rather.. What is data management?

- Thinking in advance about data collection, management, disposal, protection, description, reuse
- Active work during research to ensure data is used to support current (and future) research objectives
- Ensuring useful data survives the project and ends up somewhere that can care for it (and make it citable and reusable)
- Part of good research design

**A data management plan is a document which captures and documents this part of the project planning**

# Why do we plan?

- To convince ourselves, or others
- To avoid unforeseen pitfalls
- To allow for discourse with peers
- To be prepared for the unforeseen
- To give clarity about responsibilities
- Is it enough just to write the plan?

# Is planning enough?

- Sometimes, yes
- Oftentimes no
  - Transfer of responsibilities
  - Automation of processes
  - Monitoring of risk
- Some can be done with elements of plan, aggregates of plans
- If plans aren't monolithic objects, value increases

# Possible elements of a plan

- Introduction & context
- Legal, rights & ethical issues
- Access, data sharing & re-use
- Data collection / development methods
- Data standards
- Short-term data storage & data management
- Deposit & long-term preservation
- Resourcing
- Compliance & review
- Agreement/ratification by stakeholders

For some areas of research, some of these areas will be empty or irrelevant – that doesn't matter

# Suggested answers

The University of Glasgow has template answer for the policy question in the MRC template.

The table is prepopulated with links to all the University policies.

7. Relevant institutional, departmental or study policies on data sharing and data security	
<p>Please complete, where such policies are (i) relevant to your study, and (ii) are in the public domain, e.g. accessibly through the internet. Add any others that are relevant (<b>check for local policies in your school or group</b>)</p>	
Policy	URL or Reference
Data Management Policy & Procedures	Draft GU Research Data Management policy <a href="http://www.gla.ac.uk/media/media_232425_en.docx">http://www.gla.ac.uk/media/media_232425_en.docx</a>
Data Security Policy	IT Security Policies <a href="http://www.gla.ac.uk/services/it/informationsecurity/policies">http://www.gla.ac.uk/services/it/informationsecurity/policies</a> Confidential Data Policy <a href="http://www.gla.ac.uk/services/it/informationsecurity/confidentialdata">http://www.gla.ac.uk/services/it/informationsecurity/confidentialdata</a> Data security issues are also covered to some extent by the University's Data Protection policy <a href="http://www.gla.ac.uk/services/dpfoioffice/policiesandprocedures/dpa-policy">http://www.gla.ac.uk/services/dpfoioffice/policiesandprocedures/dpa-policy</a> Policy on Confidential Data in the University <a href="http://www.gla.ac.uk/media/media_180727_en.pdf">http://www.gla.ac.uk/media/media_180727_en.pdf</a>
Data Sharing Policy	Data sharing is covered in the University's Code of Good Practice in Research <a href="http://www.gla.ac.uk/media/media_227599_en.pdf">http://www.gla.ac.uk/media/media_227599_en.pdf</a> Data sharing is covered in a number of Ethics related policies. The policies are accessible via the Ethics Committee homepage <a href="http://www.gla.ac.uk/research/aims/ourpolicies/ethicshomepage">http://www.gla.ac.uk/research/aims/ourpolicies/ethicshomepage</a>
Institutional Information Policy	The University of Glasgow lists all policies relevant to research conduct and interaction with the wider community <a href="http://www.gla.ac.uk/research/aims/ourpolicies">http://www.gla.ac.uk/research/aims/ourpolicies</a>
Other:	Details on relevant RCUK policies and draft GU EPSRC roadmap available at <a href="http://www.gla.ac.uk/services/datamanagement/rdm-at-gu">http://www.gla.ac.uk/services/datamanagement/rdm-at-gu</a>
Other	For links to the University research ethics policies and working with animals, please see: <a href="http://www.gla.ac.uk/research/aimsassessmentandpolicies/ourpolicies">http://www.gla.ac.uk/research/aimsassessmentandpolicies/ourpolicies</a>



# Example answers

St Andrew's University has added example answers for every question in the EPSRC template

The screenshot shows a web interface for 'Ethics and Legal Compliance' with two questions. The first question is 'How will you manage any ethical issues?' and the second is 'How will you manage copyright and Intellectual Property Rights (IPR) issues?'. Each question has an 'Example of answer' field and a 'Save' button. To the right of each question is a 'Guidance' section with 'Share note' and 'EPSRC Policy Expectations' tabs. The 'St Andrews guidance on Ethical Issues' and 'St Andrews guidance on IPR Ownership and Licencing' are also visible.

**Ethics and Legal Compliance** (2 questions, 0 answered)

How will you manage any ethical issues?

Example of answer

It is not envisaged that there will be any ethical or privacy issues with respect to the data as there is no personal data as defined by the Data Protection Act.

**B I** [List icons] [Link icon] [Grid icon]

Save

Not answered yet

How will you manage copyright and Intellectual Property Rights (IPR) issues?

Example of answer

The research data from this project will be issued under an Attribution Non-commercial Share Alike (by-nc-sa) licence, meaning others can use, adapt and build upon our work non-commercially, as long as they credit us and license their new creations under the identical terms.

**B I** [List icons] [Link icon] [Grid icon]

**Guidance** Share note

**EPSRC Policy Expectations**

EPSRC recognises that there are legal, ethical and commercial constraints on release of research data. To ensure that the research process (including the collaborative research process) is not damaged by inappropriate release of data, research organisation policies and practices should ensure that these constraints are considered at all stages in the research process.

**St Andrews guidance on Ethical Issues**

**Guidance** Share note

**EPSRC Policy Expectations**

**St Andrews guidance on IPR Ownership and Licencing**

A thought (and we have thought about it...)

**Do you gain the benefit  
from planning if you  
don't really write the  
plan?**

# BALANCING BENEFITS

“Provision for data management, for curation and long-term preservation, and for the sharing and re-use of data, varies wildly between subject areas.”

The data management needs of many researchers are little considered or catered for.

**If greater provision is to be made, a shortfall in infrastructure (both technical and human) must be overcome.**

Policy makers are aware that in many areas of enquiry, researchers' access to well-managed, open and reusable data opens up significant opportunities.

# Funder requirements

● Full Coverage  
 ◐ Partial Coverage  
 ○ No Coverage

Research Funders	Policy Coverage		Policy Stipulations					Support Provided			
	Published outputs	Data	Time limits	Data plan	Access/sharing	Long-term curation	Monitoring	Guidance	Repository	Data centre	Costs
AHRC	●	●	●	●	●	◐	○	●	○	◐	◐
BBSRC	●	●	●	●	●	●	●	●	●	◐	●
CRUK	●	●	●	●	●	●	●	◐	●	○	○
EPSRC	●	●	●	◐	●	●	●	◐	○	○	●
ESRC	●	●	●	●	●	●	●	●	●	●	◐
MRC	●	●	●	●	●	●	○	◐	●	○	◐
NERC	●	●	●	●	●	●	●	●	●	●	◐
STFC	●	●	●	●	●	●	●	◐	●	◐	◐
Wellcome Trust	●	●	●	●	●	●	●	●	●	◐	●

# Some other funders that require DMPs or equivalent



Department  
for International  
Development

BILL & MELINDA  
GATES foundation



European  
Commission



GenomeCanada



National Science Foundation  
WHERE DISCOVERIES BEGIN

Institutional  
policies also exist



National Institutes of Health  
Turning Discovery Into Health

DFG Deutsche  
Forschungsgemeinschaft

NHS  
National Institute for  
Health Research

TDR For research on  
diseases of poverty  
UNICEF • UNDP • World Bank • WHO

# Five common themes

1. Description of data to be collected / created  
(i.e. content, type, format, volume...)
2. Standards / methodologies for data collection & management
3. Ethics and Intellectual Property  
(highlight any restrictions on data sharing e.g. embargoes, confidentiality)
4. Plans for data sharing and access  
(i.e. how, when, to whom)
5. Strategy for long-term preservation

# What does that tell us?

- These don't look like funder-only requirements
- Yet we know these exist, or are desired – IDs of many types, information to aid compliance monitoring, etc
- Focus has to be on research (not necessarily **researcher** with other benefits as low-cost side effect
- Otherwise burden increases – can't sell upside



# LETS TALK