## Auckland University of Technology Ethics Committee (AUTEC)

# Guide for drafting a Data Management Plan

DEFINITION & PURPOSE:

A data management plan describes how researchers are collecting, storing, and managing the use of data collected as part of their research. It describes how data is being stored now and in the future. It describes who has access to the data and for what purposes. It records the conditions under which the data was collected. It describes who has control over access to the data.

Data collected as part of research undertaken by Auckland University of Technology (AUT) students or staff will normally be stored on AUT premises in a specified location. It is to be returned to the participants or destroyed once it has been kept for a minimum of six years. Health data is to be kept for a minimum of ten years.

AUT Staff and Students are recommended to read the [Library’s advice about Research Data Management](http://aut.ac.nz.libguides.com/RDM) and [Te Mana Raraunga - Principles of Maori Data Sovereignty](https://www.temanararaunga.maori.nz/s/TMR-Maori-Data-Sovereignty-Principles-Oct-2018.pdf)

The following questions are provided as prompts for writing the plan. You need to use them taking into account the context of your project.

### Project title and brief description:

#### Primary Researcher

#### Supervisors or other researchers

#### Who will have the primary responsibility for the data at the different stages of its life cycle?

### What is the nature of the data being collected and produced?

What type of data will be produced, used, or generated (both physical and digital)?

How will data be collected and in what formats?

How will the data collection be documented so that others can work out what is involved? Is there a data dictionary?

Will the data be reproducible?

How much data will it be, and at what rate will it grow? How often will it change?

Are there tools or software needed to create or process or visualize the data?

What costs, training, or resources are needed to implement this?

Will pre-existing data be used and if so, from where will it be sourced?

### *Where are you collecting data?*

Where are you collecting data?

What jurisdiction requirements apply to the collection of data?

If you are collecting personal data from non-NZ residents are you compliant with relevant local data protection legislation?

Note: If you are collecting the personal data of European Union residents you will need to comply with the General Data Protection Regulations.

### What are the data storage plans?

What are the data storage and backup strategies? What would happen if it got lost or became unusable later?

Will any data be stored on portable devices (e.g. audio files on a mobile phone)?

How will the security of any temporary storage be assured?

Will the data be securely stored or transferred to a secure data repository?

What data will you keep and what data will be destroyed?

When and how will data be destroyed?

### What are the ethical requirements for your data?

How will the undertakings about consent, confidentiality, deidentification, and other ethical considerations given to participants be assured?

How sensitive is your data?

How identifiable is your data (Will it be directly or indirectly identifiable? Will it be deidentified though potentially re-identifiable? Will it be permanently unidentifiable?) Will this alter? When?

What will happen to the identifiable information?

Should some data be destroyed or returned? When and how? By whom?

### What consultation has occurred around the management of your data?

With which communities or stakeholders has consultation occurred?

How are any Māori data sovereignty issues being managed (please refer to <https://www.temanararaunga.maori.nz>)?

How are the principles of whakapapa, whanaungatanga, rangatiratanga, kotahitanga, manaakitanga, and kaitiakitanga being implemented?

### How is your data being organised and what documentation and metadata is being used?

What is the plan for organising, documenting, and using descriptive metadata to assure quality control and reproducibility of these data?

What standards will be used for documentation and metadata and what version controls are in place?

How is the use of good project and data documentation formats or tools being assured and evaluated?

What folder and file naming convention will be used?

What project and data identifiers will be assigned?

What community standards for metadata sharing or integration might be involved?

### What are the plans for data sharing and access?

Have you discussed data sharing with your research collaborators or supervisor?

What steps will be taken to protect privacy, security, confidentiality, intellectual property or other rights?

Is a data sharing agreement needed?

What are the access concerns associated with your data?

What process does someone undertake to access your data?

Who controls access to the data (e.g., primary researcher, student, lab, University, funder)?

What special privacy or security requirements are needed (e.g., for personal data, for high-security data)?

Can your data be released immediately, or should you embargo (delay access to) the data?

What embargo periods need to be upheld?

Have human participants been advised about the plans for sharing data in their Information Sheet?

When your research involves people, have you obtained appropriate consent for data sharing?

How will people’s rights to access, correct, and remove information about themselves be managed?

Does your research funder have specific data management and sharing requirements?

For how long should data be available?

If you allow others to reuse your data, how will the data be discovered and shared?

What are the likely audiences for reused data? Who will use it now? Who will use it later?

When will you publish and where?

What level of data access is the publisher likely to require and how will participants consent to sharing their data with publishers?

What tools or software are needed to work with the data?

### *What are the plans for managing any breaches of privacy or confidentiality?*

What processes are in place to prevent breaches?

Who will be responsible for notifying breaches to AUTEC and to the Privacy Commissioner when they are notifiable breaches under the Privacy Act 2020?

### *What are the plans for data preservation and archiving*

How will the data be archived for preservation and long-term access?

How long should it be retained (e.g., 6 years, 10 years, permanently) and how is this being assured?

What file formats are involved for electronic data? How will future accessibility be assured?

Are there existing data archives that are appropriate for your data, whether subject based, institutional, public?

Who will maintain the data for the long-term?

### What are your main data challenges? Who can help?

What training or support do you need and what is available?

What University policies are relevant to your project? Have you read and understood them?

### *Don’t forget to update your data management plan regularly:*

#### **Date for **next** review**