



# History DMP Project

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## Three case studies

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## The History DMP Project

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## 1. Foreword

Before expanding on the rationale, process and activity of the case studies undertaken by the History DMP (HDMP) project team, it is important to note that certain specific variables and assumptions necessarily pertained to, or were adopted in order to negotiate successfully the seemingly disparate worlds of data management and academic research in a university History department.

Firstly, it is quite possible to carry out historical research without any recourse to data storage or management outside of old-fashioned pen and paper use. This occurrence is, however, in the modern world of research methodologies and overlapping technologies, very small and destined to become extinct. Nevertheless, for this reason a small number of research projects were not considered within the scope of this project.

Secondly, the project was limited in scope in terms of finance, time and manpower, and was scaled relative to these limitations. From the outset it was recognised that a circumspect view would need to be taken of the processes of interviewing researchers, carrying out these case studies, and developing and reviewing the HDMP questionnaire. The result has been to focus on a few history research projects that broadly match the criteria for developing a data management plan (DMP). There is a clear recognition, and clear hints from the case studies to the effect, that the project could be widened in scope to include cross-over disciplines, and be advanced to incorporate possibly all academic departments within the University.

Finally, the entire enterprise has been organismic and evolutionary, stemming from a clear but open remit, and developing into a crafted, complementary project that has spanned beyond merely developing a data management plan into areas of awareness and action within the University of Hull's History Department. For example, as a result of the investigations, interviews and research, various needs have been identified and will be addressed by employing inter-departmental cooperation, and more integrated use of the support services that the University provides.

## 2. Introduction

For the purposes of this project, three case studies have been selected to provide an overview of the usability, practical application, added value, and user perceptions of the History Data Management Plan developed by the team. These case studies were selected from a base of thirteen interviews and follow-up interactions with staff and postgraduate students from the University's History Department. The original interviews were carried out as a 'terms of reference' and 'fact finding' exercise designed to assist in developing a basis for a HDMP questionnaire (see Appendices A, B and C). An example of the interview process schema that was followed, a list of viable questions and pointers to aid the interviewers, can be found at Appendix E. Staff and postgraduate students were specifically approached based on their use, or lack of use, of data management systems within the

scope of research projects past, present and future. The single characteristic that most defined the variety of systems employed was that each was unique. No two systems appeared to correspond directly with each other with the exception of a small number of examples where it appeared that *no system at all* was employed.

The combined outcome of the interviews, follow-up discussions, team research and development was the creation of the new History Data Management Plan which was used as the basis for carrying out the case studies. The three case studies involved, detailed in the remainder of this document, were selected based on the following criteria:

- Clearly defined research projects
- One each from three identifiably separate stages of project development:
  - Start-up phase (a dataset created in conjunction with a new research project)
  - Developmental phase (a dataset associated with on-going research)
  - Completed Project phase (an existing dataset series)
- Willingness of the researchers to participate and become involved
- Research that is varied from each of the other case studies
- Output types that are as varied as possible

To facilitate the case studies, the HDMP, compiled largely as a result of the information and understanding gained from the interview process, was presented to researchers from each of the three identified projects for completion. They were specifically tasked with commenting on the HDMP in terms of:

- its ease of use
- its usefulness as a checklist against their normal data management routines
- its usefulness in making them think about data management issues they might not otherwise have considered
- the usefulness of the accompanying notes in identifying services available to them to assist data management and that they might not otherwise have known about or considered
- any further information that may be useful in assessing the plan

### **3. Case Study 1: The Seafarer Community of 14<sup>th</sup> Century England**

#### **3.1 Project/Research Overview**

This project is best understood as a brand new, start-up piece of research intended to be carried out by a small team of historians with experience and qualifications in the specific period to be studied, as well as experience and qualifications in supporting the data heavy nature of certain aspects of the research. The project, at the time of writing, is in the process of being scrutinised by a prospective funding body following an application for suitable levels of financial support that may realise the viable delivery of the proposed research. From this inception stage, it is likely that a second round of funding applications will be made in order, hopefully, to secure the required funding, and permit the project proper to commence. Whether or not such external funding is approved, it is quite probable that the researchers involved will continue to seek means of funding, both internal and external, in order to get the project off the ground.

The proposed outcome of this research will be a publically available database of more than 30,000 records containing information that will be of historical significance to the history and broader communities. It is envisaged that the project will last for about three years in its research phase but thereafter the database and appropriate documentation will remain in the public domain. To achieve this ambition, it is clear that a viable data management plan is necessary in order to devise a workable strategy and to inform the prospective funding body or bodies that this task has been clearly identified and will receive all due care and attention, both during and after the projected project life.

#### **3.2 Background and Process**

Following an interview with the proposed project's lead researcher, it was identified that an awareness of the various data management elements would prove useful in determining at an early stage what the realistic data management requirements might be. It was noted that having a clear and unambiguous awareness of prospective data management issues would aid in providing similarly clear and unambiguous information in the funding application process; typically, funding bodies require outlines of proposed strategies and processes that will provide integrity within the data management aspect of the proposed project. A failure to provide clear and unambiguous information regarding data management and strategy often leads to the failure of a funding bid.

Despite the early stages of development of this project, the lead researcher has well developed ideas that have been well thought through. The experience and study that are brought to bear are testimony to the clarity of the project outline and perceived outcomes.

#### **3.3 History Data Management Plan (questionnaire)**

See Appendix A for a copy of the completed questionnaire.

The History Data Management Plan questionnaire was provided to the interviewed researcher who completed it within 20 minutes. All questions were completed summarily and without hesitation. Once completed, the form was examined and the researcher was interviewed to obtain his opinions and understanding of the Plan.

The following issues were raised during this process:

- No aspects of the questionnaire appeared to pose any difficulty. The various sections were simple and clear; each question was addressed directly.
- The researcher stated that the process was helpful as a checklist against perceived standard data management routines that would likely arise.
- The researcher identified several pointers to aspects of the process that he had possibly overlooked, or not fully considered. For example, the questions about budgeting (HDMP 1.8, 7.2 and 7.3) raised awareness around the need to specifically identify how the proposed budget may need to be broken down to accommodate data management issues.
- Perhaps the most startling aspect of the process for the researcher was the raising of his awareness around what services the institution already had in place, and to what extent he may be offered support and help in carrying out his research and completing the proposed project. To this end, the inclusion of a list of useful contacts (HDMP 10.3) was vital.
- The researcher identified that most of the questions in the plan were either obvious, or common sense and that he had already thought them through; however he added that despite this, having all of these concepts together and organised into a coherent plan did help to rationalise the process, particularly in terms of making a funding bid.
- The researcher accepted that the coverage of typically 'non-historian' technical issues, such as data storage, long-term management strategies and funding breakdowns is clearly and comprehensively covered within the plan in simple, understandable language.
- The researcher found that the shaded areas which identify questions that relate most specifically to funding requirements were useful in comprehending and developing a funding application.
- The researcher was optimistic and praised the HDMP approach, stating that he wished he had had a similar process of guidance to follow with previous projects.
- The researcher agreed that the process was simple to follow and did not take up a lot of time (less than 30 minutes).
- The researcher felt that the 'Notes' section (Section 10) provided an adequate amount of information; he referred to them several times and obtained the level of guidance he required.

- The researcher's parting comment was that: "it [HDMP] avoids stress and hassle!"



## 4. Case Study 2: Privateering, Piracy and British Policy in Spanish America

### 4.1 Project/Research Overview

This on-going project is based on a previous study at PhD level and is derived from the PhD thesis '*A sure defence against the foe '?: maritime predation & British commercial policy during the Spanish American Wars of Independence, 1810-1830.*<sup>1</sup> The expected output of the project is a book to be published as a monograph by the author of the original thesis.

The book will investigate the impact of privateering and piracy on British trade and shipping during the Spanish American Wars of Independence, and assess the effectiveness of the response of the British government to attacks on its shipping.

The project is in its development 'writing up' stage, implying that the primary research has been completed, but will still be supplemented occasionally as may be necessary to inform specific aspects of the work. During this phase it may be necessary regularly to revise data that is gathered; this may entail adding to, editing, or removing from the data pool. Essentially, this means that various versions of the data may be held by the researcher as the project develops, but in terms of this particular project, little has been altered with the exception of a few minor textual alterations to ensure accuracy and integrity.

The 'data' aspect of the project revolves around a database of records compiled over a four year period. This database effectively informs various aspects of the work and is intended to be 'published' in an accessible format so that it may both inform and validate various conclusions reached in the book.

The project is being undertaken by an individual researcher who is employed by the History Department in the role of lecturer. It is envisaged that the database and the book will form the basis of future taught modules within the Department.

### 4.2 Background and Process

The case study was initiated following an interview with the individual researcher. It was clear that the project did not overlap into any other spheres of research outside of history, and therefore does not require any consideration from other departments within the University, or external institutions. The scope of the project is reasonably small; the database contains 2072 records that are in a concise, flat file table. Due to the lack of expertise and the limited nature of the data, there is little reason to expect that the database should be made relational, or that the data should not in fact be presented as a dataset. Forming the basis of a highly successful, award winning PhD thesis, the data are meticulously researched and may be regarded as valuable for future development, public access and archiving. There is, therefore, a requirement for further data management planning and maintenance.

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<sup>1</sup> See: <https://hydra.hull.ac.uk/resources/hull:4454>

### 4.3 History Data Management Plan (questionnaire)

See Appendix B for a copy of the completed questionnaire.

The History Data Management Plan questionnaire was provided to the interviewed researcher who completed it within 25 minutes. All questions were completed summarily and without hesitation. Once completed, the form was examined and the researcher was again interviewed to obtain his opinion and understanding of the History Data Management Plan.

The following issues were raised during this process:

- No aspects of the questionnaire appeared to pose any difficulty. The various sections were simple and clear; each question was addressed directly.
- The researcher queried the apparent repetition of some of the questions which seemed to extend the process slightly. For example, points 3.1 and 4.3 derived the same response. He did agree, however, that in different circumstances, these responses may have been differentiated.
- The researcher agreed that the process was simple to follow and did not take up a lot of time (less than 30 minutes).
- The researcher unequivocally stated that the process added value to his research undertaking, and that the plan had prompted specific areas for further consideration, particularly around the preservation and integrity of his database.
- The researchers accepted that the highlighting of certain areas to reflect what was most specifically related to research funding applications was a good idea and would prove useful for future research projects he intended to undertake.
- The researcher felt that the 'Notes' section (Section 10) provided an adequate amount of information but stipulated that he had only needed to refer to it once regarding an issue of ethical consideration of compliance with applicable law (HDMP 3.2). The explanation provided was adequate and he was able to complete the process without further delay.
- The researcher considered that the process should be engaged for any future projects, especially those which may invite funding bids, and felt that it would be helpful if it were to become part of a departmental standard for new projects.
- Reflecting on whether the process would have been useful as an initiator for his earlier work (the doctoral thesis) the researcher was in clear agreement. He queried the lack of such information for post-graduate students, and indeed the lack of training or information about how a historical research database may be established from first principles.

#### **4.4 Postscript**

The researcher interviewed for this case study was sufficiently impressed with the value of the questionnaire and accompanying process that he agreed to travel to London where he addressed a meeting of the JISC 'Managing Research Data' projects on the subject.

## 5. Case Study 3: The History of Marine Animal Populations (HMAP)

### 5.1 Project/Research Overview

HMAP is a global research initiative that studies the past ocean life and human interaction with the sea. About 100 researchers, including several from the University of Hull, joined forces to develop an interdisciplinary research programme using historical and environmental archives. They analysed marine population data before and after human impacts on the ocean became significant. The goal is to enhance knowledge and understanding of how the diversity, distribution and abundance of marine life in the world's oceans changes over the long term. The scope of this project is world-wide.

Although the project has now completed its primary phase of research and input, it still provides an enduring resource for maritime historians, marine scientists, biologists, geographers, maritime management specialists, national and international law makers, scholars, students and the public at large; the legacy of HMAP is that it continues to provide materials that are used for on-going research into each of these specialist areas.

The University of Hull, a founder member of the project along with the University of New Hampshire (USA), Murdoch University (Australia) and Roskilde University (Denmark) has retained responsibility for the continued maintenance and secure presentation of the project's data output resources, including a selection of datasets that are accompanied by sets of documentation that both inform and form an integral part of the datasets. The datasets are presented in multiple formats and are the subject of on-going strategic approaches by the University of Hull to maximise their secure and stable availability to the public.<sup>2,3</sup>

This case study investigates the project from the perspective of the University of Hull as undertaken by the Maritime Historical Studies Centre (a research unit of the University's History Department).

### 5.2 Background and Process

The case study was initiated following interviews with three of the project's primary researchers and developers. From the outset it was clear that the project was huge in scope having amassed large quantities of meticulously researched data from historians and scientists at institutions around the world. It was also clear that the sheer volume of data made this project a serious contender for an on-going data management exercise despite its now 'latent' state. While no further research is being carried out that will result in changes to the resulting dataset outputs, the fact that the data are regularly downloaded and used for purposes ranging from 'personal interest' such as genealogy or occasional maritime studies, to scientific investigation and inclusion in legal instruments for determining national and international fisheries policy, makes this resource valuable and highlights the need for the University to maintain the integrity and security of the data as an on-going exercise.

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<sup>2</sup> See: <https://hydra.hull.ac.uk/resources/hull:HMAPDisplaySet> and

<sup>3</sup> <http://www.hull.ac.uk/hmap/Library/Library.htm>

### 5.3 History Data Management Plan (questionnaire)

See Appendix C for a copy of the completed questionnaire.

The History Data Management Plan questionnaire was provided to the three interviewed researchers who completed it within 30 minutes. Reference was made to the original HMAP project website in order to obtain certain information required to complete the form, but this was mostly carried out as a means of verifying specific facts and figures rather than providing the actual responses to the questions posed. Once completed, the form was examined and the three researchers were again briefly interviewed to obtain their opinion and understanding of the Plan.

The following issues were raised during this process:

- For two of the researchers several questions involving the 'non-history' parts of the Plan were quite technical and required further investigation. This occurred at question 2.5, and at Sections 5, 6 and 7 as a whole. For the third researcher, who has a background as a data manager in an ICT setting, these questions did not pose any difficulty. It should be noted that upon enquiry from the Head of Research and his delegated assistant, these questions were readily addressed. However, it was felt that the notes provided clarified any technical difficulties that may have otherwise arisen.
- All of the researchers thought that the questionnaire was a simplified and accessible means of understanding the need for a coherent data management plan.
- All of the researchers agreed that the process was simple to follow and did not take up a lot of time (30 minutes).
- All of the researchers recognised that the process added value to their research undertaking, but also noted that due to the fact that this particular project (HMAP) was complete, their responses were 'after the fact' and several of the questions seemed to be either pointless, or at least of archival value only.
- One of the researchers questioned whether there was a need to highlight the aspects of the questionnaire that most specifically related to research funding applications, but agreed that in the case of new projects, this could be a valuable tool for researchers.
- All of the researchers felt that the 'Notes' section (Section 10) provided an adequate amount of information in terms of the particular project (HMAP) they had reviewed, but did raise a question about whether these notes may provide similar clear guidance for all types of research that may be undertaken.
- All of the researchers agreed that the process should be engaged for any future projects, especially those which may invite funding bids, and should become part of a departmental standard for new projects.

## 6. Conclusion

The interview phase revealed a great deal about the requirements of the History Department for a clear and practical data management plan that could both inform the user, and provide the details required for developing a successful approach for a data management system for each of the various types of research that are undertaken within the department. While this approach could ostensibly be seen as very limiting (in terms of restricting the plan purely to Historical research within a narrow framework) it was decided to generate a plan that contained elements relevant primarily to the department, but that also adhered to basic standards that could be migrated to other departments as well. To this end the work of the Data Curation Centre (DCC) on data management plans<sup>4</sup> was used as a general framework with observance of their systematic and practical approach.

The interviews were based on a methodology of continuing development, openness, awareness and systemic (holistic) principles. From an initial round-table discussion, relevant questions were proposed, but the underlying understanding was that these questions would vary according to the situations that were experienced during the interviews. As a result of this approach, the original, variable questions were fine-tuned, but at no stage were they regarded as providing anything more than guidance for the interview process. A concerted effort was made to keep the process jargon-free, open to variable input and to engage the interviewee as the expert who may be able to provide valid information for the purposes of developing the project.

Based on this open ended, variable and inclusive approach, the variety and obscurity of research types and approaches were catered for. Despite the emphasis being on historical research, the very broad and variable approach made the process open to current and future development outside of that specific arena. For example, several of the interviewees are/were engaged in research projects that span history and various other disciplines; these linked disciplines included geography, social science, politics and psychology.

Importantly, the exercise generated some very useful by-products. Notably, several interviewees revealed that the process was useful to them as there were elements that they had not previously considered, but on reflection, were important to their research and development as researchers. Most particularly, the issues surrounding data security, data safety and data storage seemed to impress on many interviewees their own lack of attention and awareness surrounding these issues. It is fair to say that the exercise generated both interest and greater understanding on the part of the interviewees, but also on the part of the interviewers.

In terms of the interviewers, awareness quickly grew about the limited or even complete lack of understanding amongst many of the researchers around data management issues. While there seemed to be enthusiasm to engage, there was little awareness around how or why data management was vital to the integrity of their researched data; once the subject was discussed, they all agreed that this was a subject they intended to involve themselves with.

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<sup>4</sup> See: <http://www.dcc.ac.uk/resources/data-management-plans>

It should be noted that as the process of interviewing developed, it was decided that some interviewees needed to be engaged again as new ideas, new questions and new areas of related relevance were discovered. Rather than conducting a new round of interviews, this secondary process was less formal; generally this took the form of face-to-face discussions, telephone chats, or email exchanges. All of the participating interviewees were forthcoming and willing to engage at all stages of the process. All thirteen interviewees agreed that they would be willing to participate in a further case study process if this would be helpful.

The three projects selected for representation as case studies provided a great deal of useful feedback which was used to inform the next iteration of the HDMP questionnaire .<sup>5</sup>

Perhaps the most pertinent outcomes of these case studies can be identified as follows:

- The HDMP is relevant and useful across a full range of research ranging from individual, to interdepartmental, national and multinational projects, and spanning a multitude of historical and related research approaches and subjects.
- The importance of providing a Data Management Plan is recognised as an essential element of any successful project, particularly in terms of establishing a coherent strategy for the successful completion of a project.
- Working with researchers on the HDMP revealed a vital aspect of the entire process: *historians are not necessarily willing or able to address issues that are outside the scope of their personal remit (i.e. doing history)*. However, it is clear that the importance of addressing these issues was recognised, and it was accepted that the levels of assistance (via the accompanying notes and contact details) did provide a clear and adequate means of addressing the issues.
- The clearly identified shaded areas in the Data Management Plan helped the researcher to focus on the relevant and necessary aspects to consider when compiling a research strategy outline for inclusion in a funding bid.
- These case studies identified that the History Data Management Plan is both workable and necessary in the view of the researchers who took part.
- Of particular interest was the researchers' perception that the plan is a time saving and useful tool in the overall business of historical research procedures.
- In several instances, the researchers were intimately aware of various aspects and requirements of the History Data Management Plan, but had not managed to bring these aspects together in the form of a coherent strategy; the plan assisted them in this process.

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<sup>5</sup> The current version of the questionnaire can be found in the University's institutional repository, Hydra, at: <https://hydra.hull.ac.uk/resources/hull:5423>

- Knock-on or related questions were raised that apply specifically to the History Department (for further consideration). For example:
  - Would the History Department be able to provide either formal or informal training for post-graduate students (and possibly research staff as well) who need to undertake the basic construction of a database, dataset, or collection of data?
- The notes accompanying the Data Management Plan were not extensively referenced during any of the observed case studies; however, the few examples of when they were accessed did highlight the time saving nature and usefulness of this provision.
- Each of the case studies identified that the History Data Management Plan is a simple yet effective tool that assists in the strategic planning process and highlights aspects of work that may otherwise be overlooked, or left until they become very difficult to manage. For example, careful consideration and planning for the future storage and availability of data after the project lifespan has expired must be undertaken in good time.
- The case studies reinforced that the History Data Management Plan is a work in progress and that it will need to change over time. Details, such as contact information, etc. will need to be regularly updated to ensure that the plan remains a useful and workable tool in future.



## **7. Appendices**

Each of the three completed DMP forms was accompanied by a 'Notes' section (Section 10 within each document). Rather than repeat this lengthy text three times it is provided once as Appendix D. Additionally, the 'contents' page has been omitted from each document.

## Appendix A: HDMP for Case Study 1

### History Data Management Plan Department of History University of Hull

<b>Current Date</b>	16/03/2012
<b>Researcher Name(s)</b>	Craig Lambert
<b>Project Title</b>	The Seafarer Community of Fourteenth Century England
<b>Project Description</b>	To illuminate the social economic standing of mediaeval seafarers and the demographics of coastal communities on fourteenth century England

#### **Important Notes:**

1. For detailed, updated explanations of the various parts of the document that require completion, please refer to the accompanying Appendix.
2. **ALL** questions should be answered; shaded areas of the document indicate areas that specifically apply to the types of questions relevant to funding criteria and may prove very useful when submitting bids or making applications.
3. This University of Hull History Data Management Plan (HDMP) applies the DCC Checklist for Data Management (v3.0 17 March 2011).

## Section 1: Project Information

1.1	Project Name / Title  The Seafarer Community of Fourteenth Century England	1.1.1
1.2	Project Duration (From–To)  3 years (10/2012 to 10/2015)	1.1.4
1.3	Partners (where applicable) – list primary first  John Nicholls Andrew Ayton	1.1.5 1.1.6
1.4	Brief Description (Aims and Purpose)  To create a database of registered taxpayers from the 2,000 settlements that were located within 5 miles of the coast or along significant rivers, taken from the poll tax returns and lay subsidies. This data will then be linked to the naval and commercial careers of identified mariners.	1.2
1.5	Historical Period researched (where applicable)  1320 to 1400	HUL 1.2
1.6	Departmental/University requirements (where applicable)  As discussed with Head of Department	HUL 1.3.2 1.3.3
1.7	Funding Body or Bodies (where applicable)  Leverhulme Trust	1.1.2
1.8	Budget (where applicable; estimate if not established)  £100,000	1.1.3
1.9	Funding Body Requirements for a Data Management Plan (where applicable)  Not known at this stage, but likely similar to other funders (e.g. as outlined in this document)	1.3.1

## Section 2: Data, Materials, Resource Collection Information

<p>2.1 Brief Description of the Historical Data, Materials, Resources being researched, collected and collated: (e.g. Shipping Log Records 1890-1900; Voice Recordings factory Workers 1950-1980; etc.)</p> <p>Lay Subsidy returns – 1327, 1332  Poll tax returns – 1377, 1397, 1381  Navy Payrolls – 1320 to 1400  Custom records – 1320 to 1400</p>	2.1 HUL
<p>2.2 Strategy for Collation of Data and Materials (e.g. Access to archive requested, Library materials borrowed, photocopies made of documents, volunteers enlisted, etc.)</p> <p>Lay Subsidy and poll Tax are published; library has copies</p>	2.2.3 HUL
<p>2.3 Is this unique data? (<i>NOTE: Both options may be applicable in certain circumstances; analysis and informed composition of existing data may be regarded as “unique”</i>)</p> <p><i>If YES - provide a brief description of the process for gathering the data (e.g. recorded interviews, compiled statistics, transcribed documents, etc.)</i></p> <p>The data from the tax returns will be analysed and standardised from the printed sources</p> <p><i>If NO – provide a brief description of the existing data (e.g. documents, database, recordings, etc.)</i></p> <p>One database already exists, copyright is held by the proposer (i.e. current researcher)</p>	2.2 2.3 HUL
<p>2.4 Are there any existing forms of data that may be added to, attached as appendices, incorporated into the data, etc.? If yes, provide a brief description (e.g. 1820-1840 compiled in <i>A.N.Other</i> – 1841-1850 will be added).</p> <p>N/A</p>	2.2.1 2.2.2

<p>2.5 Will the data be digitised or appear in digital form (e.g. dataset/database, spreadsheet, PDF Documents, WAV sound files, JPG image file, etc.)? If yes, specify the format(s) that apply.</p> <p>Database (Access 2003) JPG images PDF</p>	<p>2.3.2 2.3.3 HUL</p>
<p>2.6 Will the data be non-digital or appear in physical form (e.g. paper document, physical model, printed photograph, microfilm, archaeological artefacts, etc.)? If yes, specify the format(s) that apply.</p> <p>No</p>	<p>HUL 2.3.3</p>
<p>2.7 Will the data be stand-alone, or will it be accompanied by explanatory documentation (e.g. metadata, descriptive documents, referenced printed work, etc. )?</p> <p>It will have accompanied documents</p>	<p>2.5.1 2.5.2 2.5.3</p>
<p>2.8 What Added Value will the data bring to the History Community?</p> <p>It will illuminate for the first time and on a kingdom wide scale the mediaeval maritime community and provide data that has cross-discipline applications</p>	<p>2.4.3</p>
<p>2.9 What steps will be taken to assure Quality Assurance/Management (e.g. Monthly supervised checks on data quality and consistency, etc.)</p> <p>Checks by Head of Research</p>	<p>HUL 2.5.5</p>

### Section 3: Ethics, Intellectual Property, Citation

<p>3.1 Are there any Ethical and/or Privacy issues that may arise from sharing your data, or parts of it? If yes, provide a brief explanation.</p> <p>No</p>	<p>3.1.1 3.1.2</p>
<p>3.2 Will the data comply with applicable British and International Law and what will be done to ensure compliance (e.g. Private information protected under the Data Protection Act, Copyright Legislation, Intellectual Property, checked with supervisor/legal department, etc.)?</p> <p>Yes. Copyright office has been contacted and they have assured the proposer that there are no copyright issues</p>	<p>3.1.3 3.1.4 3.2 HUL</p>
<p>3.3 If the project is a multi-partner or multi-participant research process, what will be produced to ensure that applicable Law and regulation are adhered to (e.g. joint working methodology, mediation process, etc.)</p> <p>N/A</p>	<p>3.2.4 HUL</p>

## Section 4: Access and Use of Information

<p>4.1 Are you required to, or do you intend to, share the information you have researched at any stage? If yes, stipulate when (i.e. upon completion of project, at a specific stage, etc.)</p> <p>Yes – Database will be published at the end of the project</p>	4.1 HUL
<p>4.2 If your information is to be shared, how will this be achieved (e.g. online, printed copy, hard copy, etc.)?</p> <p>Online</p>	4.1.3 HUL
<p>4.3 Will the information need to be stored for specific/limited use only at any stage (e.g. funder requires access at mid-point review and at end of project when it will be released, etc.)?</p> <p>Yes – Data can be checked at any time by asking proposer</p>	HUL 4.1
<p>4.4 Who will be interested in or will require access to your data (e.g. students, funding body, public, history community, etc.)? Stipulate more than one option if necessary.</p> <p>Students, researchers, academics, historians, geographers</p>	4.3.1
<p>4.5 How do you anticipate your information being used once made available (e.g. students may use for specific module, history community may use for informing specific research area, etc.)? Stipulate more than one option if necessary.</p> <p>For new research – at undergraduate level and post graduate level</p>	4.3.2

## Section 5: Storage and Backup of Data

<p>5.1 Where will the information be stored <b>during the lifespan</b> of the project (e.g. University Server, DVD media, local hard drive, filing cabinet, etc.)?</p> <p>University Server Local Hard Drive</p>	5.1.1
<p>5.2 Where will the information be stored <b>upon completion and after completion</b> of the project (e.g. University Server, Online provision, accessible hard copy, etc.)?</p> <p>University Server Online Provision</p>	HUL 5.1
<p>5.3 What provision is being made for regular backups or making safe of the information being researched (e.g. extra copies made, a variety of media/methodologies employed, CD/DVD, Data Drive, printed documents, etc.)?</p> <p>Several copies are made of documents and stored separately</p>	5.1.2 5.1.3 5.2.1 5.2.2 HUL
<p>5.4 Will different versions of the information be stored (e.g. weekly updates will include latest version clearly named as current version, etc.)?</p> <p>Yes</p>	5.3.3 HUL



## Section 6: Archiving and Future Proofing of Information

<p>6.1 What is the long-term strategy for preserving the information resulting from the research (e.g. database to be made publically available via University's online provision)?</p> <p>Database will be made publically available via the University</p>	6.1 HUL
<p>6.2 Will the information be kept after the life of the project? If YES, then for how long, and in what format (e.g. database will be made publically available for at least 5 years after project completion, etc.)?</p> <p>For at least 5 years after the project ends</p>	6.2 HUL
<p>6.3 If the researched information includes sensitive or confidential data, how will this data be managed (e.g. specific data will not be made publically available, sensitive information will be deleted upon completion, etc.)?</p> <p>N/A</p>	HUL
<p>6.4 If the researched information (i.e. dataset, database, documents, etc.) will be accompanied by explanatory documentation or <i>metadata</i>, how will these be linked and preserved alongside the researched information (e.g. stored in same process as researched information, stored separately, etc.)?</p> <p>Stored alongside the database as a PDF</p>	6.3 HUL
<p>6.5 How will issues of citing and/or referencing the research information be addressed (e.g. specific citation information included, no citation information available, etc.)</p> <p>All citations will be included when necessary</p>	HUL 6.3.5

## Section 7: Resourcing of Data Management

<p>7.1 List the specific staff tasked with the role of implementing and carrying out the data management aspect of this project (e.g. Dr A.N. Other, Research Fellow, Department of History, University of Hull).</p> <p>Dr Craig Lambert John Nicholls</p>	<p>7.1 HUL</p>
<p>7.2 What is the funding strategy for Data Management <b>during</b> the project lifespan (e.g. backup materials to be purchased at researcher's expense, project specific ICT equipment to be purchased [give details], etc.)?</p> <p>Funding provided by Leverhulme Trust</p>	<p>7.2 HUL</p>
<p>7.3 What is the funding strategy for Data Management <b>after</b> the project lifespan (e.g. University to continue archiving process, equipment to be regularly updated for 5 years after project ends, etc.)?</p> <p>University will continue to archive data</p>	<p>7.3 HUL</p>

## Section 8: Review of Data Management process

<p>8.1 How will this Data Management Plan be adhered to (i.e. what means are provided, such as checklists, regular revisiting of the various elements on the plan, etc. to demonstrate that the plan is being regularly reviewed)?</p> <p>Checks to be maintained by Research Committee and internal project supervisor</p>	8.1 HUL
<p>8.2 Who will carry out the regular reviews of the Data Management Plan (e.g. Dr A.N. Other, Research Fellow, Department of History, University of Hull)?</p> <p>Department of History Research Committee</p>	8.1 HUL

## Section 9: Statements and Personnel Details

### 9.1 Statement of Agreement

I/we agree to the specific elements of the plan as outlined:

#### Project Lead or Individual Researcher:

Title	Dr
Designation	Research Associate
Name	Craig Lambert
Date	16/03/2012
Signature	<i>(transcribed from paper version)</i>

#### Project Supervisor or PhD Supervisor:

Title	
Designation	
Name	
Date	
Signature	

#### Project Researcher(s) \*

Title	
Designation	
Name	
Date	
Signature	

\* More than one Researcher may be involved. Continue on a separate page if necessary.

## 9.2 Expertise of Researchers \*\*\*

Title	Dr
Name	Craig Lambert
Contact Details	c.lambert@hull.ac.uk
Expertise	Several years of research and publications in mediaeval maritime history

Title	Dr
Name	Andrew Ayton
Contact Details	a.c.ayton@hull.ac.uk
Expertise	Recognised expert and widely published on fourteenth century mediaeval history

Title	Mr
Name	John Nicholls
Contact Details	j.nicholls@hull.ac.uk
Expertise	Several years of experience as a Data Manager and researcher

\*\* More than one Researcher may be involved. Continue on a separate page if necessary.

## Appendix B: HDMP for Case Study 2

### History Data Management Plan

#### Department of History

#### University of Hull

<b>Current Date</b>	02/03/2012
<b>Researcher Name(s)</b>	Matthew McCarthy
<b>Project Title</b>	Privateering, Piracy and British Policy in Spanish America, 1810-1830
<b>Project Description</b>	The published book and database will investigate the impact of privateering and piracy on British Trade and shipping during the Spanish American Wars of Independence, and assess the response of the British government to attacks on its shipping

#### **Important Notes:**

1. For detailed, updated explanations of the various parts of the document that require completion, please refer to the accompanying Appendix.
2. **ALL** questions should be answered; shaded areas of the document indicate areas that specifically apply to the types of questions relevant to funding criteria and may prove very useful when submitting bids or making applications.
3. This University of Hull History Data Management Plan (HDMP) applies the DCC Checklist for Data Management (v3.0 17 March 2011).

## Section 1: Project Information

1.1	Project Name / Title Privateering, Piracy and British Policy in Spanish America, 1810-1830	1.1.1
1.2	Project Duration (From–To) PhD project 2006-2010 – September 2012 (publication as monograph)	1.1.4
1.3	Partners (where applicable) – list primary first N/A	1.1.5 1.1.6
1.4	Brief Description (Aims and Purpose) The book establishes the impact of privateering and piracy on British trade and shipping during the Spanish American Wars of Independence, and assess the effectiveness of the British government's response	1.2
1.5	Historical Period researched (where applicable) 1810 to 1830	HUL 1.2
1.6	Departmental/University requirements (where applicable) As discussed with Head of Department	HUL 1.3.2 1.3.3
1.7	Funding Body or Bodies (where applicable) PhD project 2006-2010 sponsored by the AHRC	1.1.2
1.8	Budget (where applicable; estimate if not established) Sponsorship over 4 years = £12,000 per annum plus fees	1.1.3
1.9	Funding Body Requirements for a Data Management Plan (where applicable) N/A	1.3.1

## Section 2: Data, Materials, Resource Collection Information

2.1	<p>Brief Description of the Historical Data, Materials, Resources being researched, collected and collated: (e.g. Shipping Log Records 1890-1900; Voice Recordings factory Workers 1950-1980; etc.)</p> <p>19<sup>th</sup> Century Newspapers (British, Spanish &amp; American)          British government correspondence (Foreign Office, Admiralty)          House of Commons papers</p>	2.1 HUL
2.2	<p>Strategy for Collation of Data and Materials (e.g. Access to archive requested, Library materials borrowed, photocopies made of documents, volunteers enlisted, etc.)</p> <p>Printed sources consulted in libraries          Some records accessed online          Majority consulted at the National Archives (London)</p>	2.2.3 HUL
2.3	<p>Is this unique data? (<i>NOTE: Both options may be applicable in certain circumstances; analysis and informed composition of existing data may be regarded as “unique”</i>)</p> <p><i>If YES - provide a brief description of the process for gathering the data (e.g. recorded interviews, compiled statistics, transcribed documents, etc.)</i></p> <p>No statistical data on captures made by privateers and pirates in this period has been collated in previous research projects. This study has yielded a database with 2072 prize actions drawn from the sources listed above</p> <p><i>If NO – provide a brief description of the existing data (e.g. documents, database, recordings, etc.)</i></p>	2.2 2.3 HUL
N/A		
2.4	<p>Are there any existing forms of data that may be added to, attached as appendices, incorporated into the data, etc.? If yes, provide a brief description (e.g. 1820-1840 compiled in <i>A.N.Other</i> – 1841-1850 will be added).</p> <p>A book in Spanish by Feliciano Gomez-Duarte has a list of captures made specifically in Spanish waters</p>	2.2.1 2.2.2



<p>2.5 Will the data be digitised or appear in digital form (e.g. dataset/database, spreadsheet, PDF Documents, WAV sound files, JPG image file, etc.)? If yes, specify the format(s) that apply.</p> <p>Database (Access 2003) PDF</p>	<p>2.3.2 2.3.3 HUL</p>
<p>2.6 Will the data be non-digital or appear in physical form (e.g. paper document, physical model, printed photograph, microfilm, archaeological artefacts, etc.)? If yes, specify the format(s) that apply.</p> <p>Yes. Book will be published (bound)</p>	<p>HUL 2.3.3</p>
<p>2.7 Will the data be stand-alone, or will it be accompanied by explanatory documentation (e.g. metadata, descriptive documents, referenced printed work, etc. )?</p> <p>Requires explanatory documentation</p>	<p>2.5.1 2.5.2 2.5.3</p>
<p>2.8 What Added Value will the data bring to the History Community?</p> <p>Database will enable scholars to shed light on the character, scale and impact of privateering and piracy during 19<sup>th</sup> century Latin American Wars</p>	<p>2.4.3</p>
<p>2.9 What steps will be taken to assure Quality Assurance/Management (e.g. Monthly supervised checks on data quality and consistency, etc.)</p> <p>Checks by Head of Research</p>	<p>HUL 2.5.5</p>

### Section 3: Ethics, Intellectual Property, Citation

<p>3.1 Are there any Ethical and/or Privacy issues that may arise from sharing your data, or parts of it? If yes, provide a brief explanation.</p> <p>I would like the database to remain unpublished until the publication of my book in late 2012 – early 2013</p>	<p>3.1.1 3.1.2</p>
<p>3.2 Will the data comply with applicable British and International Law and what will be done to ensure compliance (e.g. Private information protected under the Data Protection Act, Copyright Legislation, Intellectual Property, checked with supervisor/legal department, etc.)?</p> <p>Yes.</p>	<p>3.1.3 3.1.4 3.2 HUL</p>
<p>3.3 If the project is a multi-partner or multi-participant research process, what will be produced to ensure that applicable Law and regulation are adhered to (e.g. joint working methodology, mediation process, etc.)</p> <p>No</p>	<p>3.2.4 HUL</p>

## Section 4: Access and Use of Information

4.1	Are you required to, or do you intend to, share the information you have researched at any stage? If yes, stipulate when (i.e. upon completion of project, at a specific stage, etc.)	4.1 HUL
Yes – upon publication of my book		
4.2	If your information is to be shared, how will this be achieved (e.g. online, printed copy, hard copy, etc.)?	4.1.3 HUL
Online		
4.3	Will the information need to be stored for specific/limited use only at any stage (e.g. funder requires access at mid-point review and at end of project when it will be released, etc.)?	HUL 4.1
Yes – Stored until publication of book, then made accessible to public		
4.4	Who will be interested in or will require access to your data (e.g. students, funding body, public, history community, etc.)? Stipulate more than one option if necessary.	4.3.1
Students, historians of piracy, trade, slave trade, imperialism, Latin America		
4.5	How do you anticipate your information being used once made available (e.g. students may use for specific module, history community may use for informing specific research area, etc.)? Stipulate more than one option if necessary.	4.3.2
For new research and specific student module creation		

## Section 5: Storage and Backup of Data

<p>5.1 Where will the information be stored <b>during the lifespan</b> of the project (e.g. University Server, DVD media, local hard drive, filing cabinet, etc.)?</p> <p>University Server Local Hard Drive USB pen</p>	5.1.1
<p>5.2 Where will the information be stored <b>upon completion and after completion</b> of the project (e.g. University Server, Online provision, accessible hard copy, etc.)?</p> <p>University Server Online Provision Accessible hard copy (book in library)</p>	HUL 5.1
<p>5.3 What provision is being made for regular backups or making safe of the information being researched (e.g. extra copies made, a variety of media/methodologies employed, CD/DVD, Data Drive, printed documents, etc.)?</p> <p>University Server backups</p>	5.1.2 5.1.3 5.2.1 5.2.2 HUL
<p>5.4 Will different versions of the information be stored (e.g. weekly updates will include latest version clearly named as current version, etc.)?</p> <p>No</p>	5.3.3 HUL

## Section 6: Archiving and Future Proofing of Information

<p>6.1 What is the long-term strategy for preserving the information resulting from the research (e.g. database to be made publically available via University's online provision)?</p> <p>Database will be made publically available via the University</p>	6.1 HUL
<p>6.2 Will the information be kept after the life of the project? If YES, then for how long, and in what format (e.g. database will be made publically available for at least 5 years after project completion, etc.)?</p> <p>For at least 5 years after the project ends</p>	6.2 HUL
<p>6.3 If the researched information includes sensitive or confidential data, how will this data be managed (e.g. specific data will not be made publically available, sensitive information will be deleted upon completion, etc.)?</p> <p>N/A</p>	HUL
<p>6.4 If the researched information (i.e. dataset, database, documents, etc.) will be accompanied by explanatory documentation or <i>metadata</i>, how will these be linked and preserved alongside the researched information (e.g. stored in same process as researched information, stored separately, etc.)?</p> <p>Stored alongside the database</p>	6.3 HUL
<p>6.5 How will issues of citing and/or referencing the research information be addressed (e.g. specific citation information included, no citation information available, etc.)</p> <p>All citations will be clearly labelled on documentation</p>	HUL 6.3.5

## Section 7: Resourcing of Data Management

7.1	<p>List the specific staff tasked with the role of implementing and carrying out the data management aspect of this project (e.g. Dr A.N. Other, Research Fellow, Department of History, University of Hull).</p> <p>John Nicholls, Research Fellow, university of Hull</p>	7.1 HUL
7.2	<p>What is the funding strategy for Data Management <b>during</b> the project lifespan (e.g. backup materials to be purchased at researcher's expense, project specific ICT equipment to be purchased [give details], etc.)?</p> <p>Not funded</p>	7.2 HUL
7.3	<p>What is the funding strategy for Data Management <b>after</b> the project lifespan (e.g. University to continue archiving process, equipment to be regularly updated for 5 years after project ends, etc.)?</p> <p>University will continue to archive data</p>	7.3 HUL

## Section 8: Review of Data Management process

<p>8.1 How will this Data Management Plan be adhered to (i.e. what means are provided, such as checklists, regular revisiting of the various elements on the plan, etc. to demonstrate that the plan is being regularly reviewed)?</p> <p>Checks to be maintained by internal project supervisor</p>	8.1 HUL
<p>8.2 Who will carry out the regular reviews of the Data Management Plan (e.g. Dr A.N. Other, Research Fellow, Department of History, University of Hull)?</p> <p>Department of History</p>	8.1 HUL

## Section 9: Statements and Personnel Details

### 9.1 Statement of Agreement

I/we agree to the specific elements of the plan as outlined:

#### Project Lead or Individual Researcher:

Title	Dr
Designation	Research Associate
Name	Matthew McCarthy
Date	02/03/2012
Signature	<i>(transcribed from paper version)</i>

#### Project Supervisor or PhD Supervisor:

Title	
Designation	
Name	
Date	
Signature	

#### Project Researcher(s) \*

Title	
Designation	
Name	
Date	
Signature	

\* More than one Researcher may be involved. Continue on a separate page if necessary.



**9.2 Expertise of Researchers \*\*\***

Title	Dr
Name	Matthew McCarthy
Contact Details	m.mccarthy@hull.ac.uk
Expertise	PhD history

Title	
Name	
Contact Details	
Expertise	

Title	
Name	
Contact Details	
Expertise	

\*\* More than one Researcher may be involved. Continue on a separate page if necessary.

## Appendix C: HDMP for Case Study 3

### History Data Management Plan Department of History University of Hull

<b>Current Date</b>	20/02/2012
<b>Researcher Name(s)</b>	David Starkey Michaela Barnard John Nicholls
<b>Project Title</b>	HMAP History of Marine Animal Populations
<b>Project Description</b>	A global research initiative; a study of past ocean life and human interaction with the sea. About 100 researchers have joined forces to develop an interdisciplinary research program using historical and environmental archives. We analyze marine population data before and after human impacts on the ocean became significant. Our goal is to enhance knowledge and understanding of how the diversity, distribution and abundance of marine life in the world's oceans changes over the long term.

#### **Important Notes:**

1. For detailed, updated explanations of the various parts of the document that require completion, please refer to the accompanying Appendix.
2. **ALL** questions should be answered; shaded areas of the document indicate areas that specifically apply to the types of questions relevant to funding criteria and may prove very useful when submitting bids or making applications.
3. This University of Hull History Data Management Plan (HDMP) applies the DCC Checklist for Data Management (v3.0 17 March 2011).

## Section 1: Project Information

1.1	Project Name / Title HMAP History of Marine Animal Populations	1.1.1
1.2	Project Duration (From–To) 2001 to 2011	1.1.4
1.3	Partners (where applicable) – list primary first Multi-partner project: see <a href="http://hmapcoml.org/about/">http://hmapcoml.org/about/</a>	1.1.5 1.1.6
1.4	Brief Description (Aims and Purpose) A global research initiative; a study of past ocean life and human interaction with the sea. About 100 researchers have joined forces to develop an interdisciplinary research program using historical and environmental archives. We analyze marine population data before and after human impacts on the ocean became significant. Our goal is to enhance knowledge and understanding of how the diversity, distribution and abundance of marine life in the world's oceans changes over the long term.	1.2
1.5	Historical Period researched (where applicable) 1600 to present	HUL 1.2
1.6	Departmental/University requirements (where applicable) As discussed with Head of Department	HUL 1.3.2 1.3.3
1.7	Funding Body or Bodies (where applicable) Project complete	1.1.2
1.8	Budget (where applicable; estimate if not established) Project complete	1.1.3
1.9	Funding Body Requirements for a Data Management Plan (where applicable) N/A	1.3.1

## Section 2: Data, Materials, Resource Collection Information

2.1	Brief Description of the Historical Data, Materials, Resources being researched, collected and collated: (e.g. Shipping Log Records 1890-1900; Voice Recordings factory Workers 1950-1980; etc.)	2.1 HUL
Fishing, fisheries, economic and social maritime historical sources from around the world. More details available at: <a href="http://hmapcoml.org/projects/">http://hmapcoml.org/projects/</a>		
2.2	Strategy for Collation of Data and Materials (e.g. Access to archive requested, Library materials borrowed, photocopies made of documents, volunteers enlisted, etc.)	2.2.3 HUL
Details available at: <a href="http://hmapcoml.org/projects/">http://hmapcoml.org/projects/</a>		
2.3	Is this unique data? ( <i>NOTE: Both options may be applicable in certain circumstances; analysis and informed composition of existing data may be regarded as "unique"</i> )	2.2 2.3 HUL
<i>If YES - provide a brief description of the process for gathering the data (e.g. recorded interviews, compiled statistics, transcribed documents, etc.)</i>		
Broad spectrum of unique data gathered from various sources: linked within OBIS and DarwinCore criteria for data provision/ontologies		
<i>If NO – provide a brief description of the existing data (e.g. documents, database, recordings, etc.)</i>		
N/A		
2.4	Are there any existing forms of data that may be added to, attached as appendices, incorporated into the data, etc.? If yes, provide a brief description (e.g. 1820-1840 compiled in <i>A.N.Other</i> – 1841-1850 will be added).	2.2.1 2.2.2
N/A		

<p>2.5 Will the data be digitised or appear in digital form (e.g. dataset/database, spreadsheet, PDF Documents, WAV sound files, JPG image file, etc.)? If yes, specify the format(s) that apply.</p> <p>Database: Access 2003, MySQL, HTML, MS Excel, CSV Documentation: PDF, MS Word, ASCII Text</p>	<p>2.3.2 2.3.3 HUL</p>
<p>2.6 Will the data be non-digital or appear in physical form (e.g. paper document, physical model, printed photograph, microfilm, archaeological artefacts, etc.)? If yes, specify the format(s) that apply.</p> <p>No</p>	<p>HUL 2.3.3</p>
<p>2.7 Will the data be stand-alone, or will it be accompanied by explanatory documentation (e.g. metadata, descriptive documents, referenced printed work, etc. )?</p> <p>Requires explanatory documentation as provided with data</p>	<p>2.5.1 2.5.2 2.5.3</p>
<p>2.8 What Added Value will the data bring to the History Community?</p> <p>Data is used by students, scholars, government departments worldwide for a variety of purposes including further research, study, legislation, policy development, etc.</p>	<p>2.4.3</p>
<p>2.9 What steps will be taken to assure Quality Assurance/Management (e.g. Monthly supervised checks on data quality and consistency, etc.)</p> <p>Checks by Head of Research</p>	<p>HUL 2.5.5</p>

### Section 3: Ethics, Intellectual Property, Citation

<p>3.1 Are there any Ethical and/or Privacy issues that may arise from sharing your data, or parts of it? If yes, provide a brief explanation.</p> <p>Data is to be provided openly to public (public domain) yet integrity of citation is required. This is adequately achieved by using the HYDRA storage system at eth University of Hull.</p>	<p>3.1.1 3.1.2</p>
<p>3.2 Will the data comply with applicable British and International Law and what will be done to ensure compliance (e.g. Private information protected under the Data Protection Act, Copyright Legislation, Intellectual Property, checked with supervisor/legal department, etc.)?</p> <p>Yes.</p>	<p>3.1.3 3.1.4 3.2 HUL</p>
<p>3.3 If the project is a multi-partner or multi-participant research process, what will be produced to ensure that applicable Law and regulation are adhered to (e.g. joint working methodology, mediation process, etc.)</p> <p>Yes – joint working methodology sustained through working group (<a href="http://hmapcoml.org/contact/">http://hmapcoml.org/contact/</a>)</p>	<p>3.2.4 HUL</p>

## Section 4: Access and Use of Information

<p>4.1 Are you required to, or do you intend to, share the information you have researched at any stage? If yes, stipulate when (i.e. upon completion of project, at a specific stage, etc.)</p> <p>Yes – already publically available (<a href="http://www.hull.ac.uk/hmap/index.htm">http://www.hull.ac.uk/hmap/index.htm</a>)</p>	4.1 HUL
<p>4.2 If your information is to be shared, how will this be achieved (e.g. online, printed copy, hard copy, etc.)?</p> <p>Online</p>	4.1.3 HUL
<p>4.3 Will the information need to be stored for specific/limited use only at any stage (e.g. funder requires access at mid-point review and at end of project when it will be released, etc.)?</p> <p>N/A</p>	HUL 4.1
<p>4.4 Who will be interested in or will require access to your data (e.g. students, funding body, public, history community, etc.)? Stipulate more than one option if necessary.</p> <p>Students, researchers, historians, scholars, government administrators, public at large</p>	4.3.1
<p>4.5 How do you anticipate your information being used once made available (e.g. students may use for specific module, history community may use for informing specific research area, etc.)? Stipulate more than one option if necessary.</p> <p>Multiple uses: legal and regulatory development, syllabus development, modules, research, etc.</p>	4.3.2

## Section 5: Storage and Backup of Data

<p>5.1 Where will the information be stored <b><u>during the lifespan</u></b> of the project (e.g. University Server, DVD media, local hard drive, filing cabinet, etc.)?</p> <p>University Server</p>	5.1.1
<p>5.2 Where will the information be stored <b><u>upon completion and after completion</u></b> of the project (e.g. University Server, Online provision, accessible hard copy, etc.)?</p> <p>University Server Online Provision</p>	HUL 5.1
<p>5.3 What provision is being made for regular backups or making safe of the information being researched (e.g. extra copies made, a variety of media/methodologies employed, CD/DVD, Data Drive, printed documents, etc.)?</p> <p>University Server backups</p>	5.1.2 5.1.3 5.2.1 5.2.2 HUL
<p>5.4 Will different versions of the information be stored (e.g. weekly updates will include latest version clearly named as current version, etc.)?</p> <p>No</p>	5.3.3 HUL



## Section 6: Archiving and Future Proofing of Information

<p>6.1 What is the long-term strategy for preserving the information resulting from the research (e.g. database to be made publically available via University's online provision)?</p> <p>Database will be made publically available via the University</p>	6.1 HUL
<p>6.2 Will the information be kept after the life of the project? If YES, then for how long, and in what format (e.g. database will be made publically available for at least 5 years after project completion, etc.)?</p> <p>For at least 5 years after the project ends</p>	6.2 HUL
<p>6.3 If the researched information includes sensitive or confidential data, how will this data be managed (e.g. specific data will not be made publically available, sensitive information will be deleted upon completion, etc.)?</p> <p>N/A</p>	HUL
<p>6.4 If the researched information (i.e. dataset, database, documents, etc.) will be accompanied by explanatory documentation or <i>metadata</i>, how will these be linked and preserved alongside the researched information (e.g. stored in same process as researched information, stored separately, etc.)?</p> <p>Stored alongside the database</p>	6.3 HUL
<p>6.5 How will issues of citing and/or referencing the research information be addressed (e.g. specific citation information included, no citation information available, etc.)</p> <p>All citations will be clearly labelled on documentation</p>	HUL 6.3.5

## Section 7: Resourcing of Data Management

7.1	List the specific staff tasked with the role of implementing and carrying out the data management aspect of this project (e.g. Dr A.N. Other, Research Fellow, Department of History, University of Hull).	7.1 HUL
John Nicholls, Research Fellow, University of Hull		
7.2	What is the funding strategy for Data Management <b>during</b> the project lifespan (e.g. backup materials to be purchased at researcher's expense, project specific ICT equipment to be purchased [give details], etc.)?	7.2 HUL
N/A		
7.3	What is the funding strategy for Data Management <b>after</b> the project lifespan (e.g. University to continue archiving process, equipment to be regularly updated for 5 years after project ends, etc.)?	7.3 HUL
University will continue to archive data		

## Section 8: Review of Data Management process

<p>8.1 How will this Data Management Plan be adhered to (i.e. what means are provided, such as checklists, regular revisiting of the various elements on the plan, etc. to demonstrate that the plan is being regularly reviewed)?</p> <p>Checks to be maintained by internal project supervisor</p>	8.1 HUL
<p>8.2 Who will carry out the regular reviews of the Data Management Plan (e.g. Dr A.N. Other, Research Fellow, Department of History, University of Hull)?</p> <p>Department of History, Library Services</p>	8.1 HUL

## Section 9: Statements and Personnel Details

### 9.1 Statement of Agreement

I/we agree to the specific elements of the plan as outlined:

#### Project Lead or Individual Researcher:

Title	Dr
Designation	Reader Maritime History
Name	David Starkey
Date	20/02/2012
Signature	<i>(transcribed from paper version)</i>

#### Project Supervisor or PhD Supervisor:

Title	
Designation	
Name	
Date	
Signature	

#### Project Researcher(s) \*

Title	Ms
Designation	Research Associate
Name	Michaela Barnard
Date	20/02/2012
Signature	<i>(transcribed from paper version)</i>

\* More than one Researcher may be involved. Continue on a separate page if necessary.

**9.2 Expertise of Researchers \*\*\***

Title	Dr
Name	David Starkey
Contact Details	d.j.starkey@hull.ac.uk
Expertise	Head of History, expert in maritime history, many years research and publication experience

Title	
Name	
Contact Details	
Expertise	

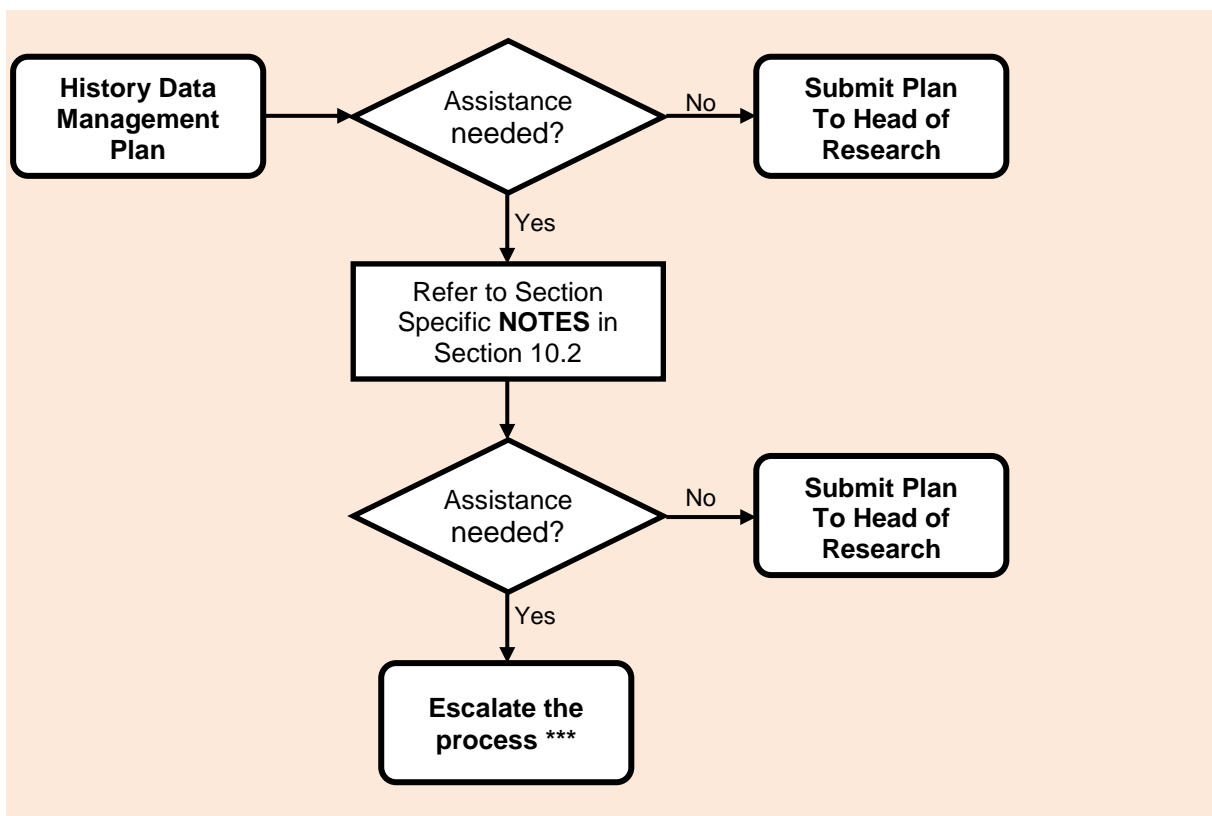
Title	
Name	
Contact Details	
Expertise	

\*\* More than one Researcher may be involved. Continue on a separate page if necessary.

## Appendix D: Notes section from the History DMP

### 10.1 Specific Help with completing the Plan

In certain instances, specific guidance may be required in order to complete this Data Management Plan. Assistance should be sought by following the flow chart below:



Escalate the process by requesting assistance from the Departmental Head of Research. Typically this will entail contacting the Data Manager, IT Services and/or Library Services. Specific assistance may be available through the Research Office as well.

## 10.2 Notes

These notes refer to the specified sections and subsections in this document. Any areas not addressed may be referred to the project lead, supervisor, or the Head of Research. Technical issues may be addressed to the HDMP development team in the first instance.

### Front Cover

Details are required to ensure the correct future referencing, storage and archiving of the Data Management Plan. There will be strict adherence to applicable law, including the Data Protection Act; this information will not be made available outside of the specific remit of the History Department of the University of Hull.

### Section 1: Project Information

- 1.1 No specific guidance available
- 1.2 No specific guidance available
- 1.3 Required for funded projects – in the event of a single applicant, the primary is the applicant.
- 1.4 If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text.
- 1.5 No specific guidance available
- 1.6 Details may be requested from the project Supervisor, or the Head of Research.
- 1.7 No specific guidance available
- 1.8 Applies specifically to funded projects. If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text.
- 1.9 Applies specifically to funded projects. If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text. Details may be requested from the project Supervisor, or the Head of Research.

### Section 2: Data, Materials, Resource Collection Information

- 2.1 If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text. NOTE: details may change as the project evolves; provide a best estimate.
- 2.2 If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text.
- 2.3 If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text.
- 2.4 “Existing data” may be in the form of an already published data resource (for example, an online database, library items, artefacts, etc.). If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text.
- 2.5 It is vital that there is a clear understanding of exactly which data types are being discussed in order to plan for future storage, accessibility and integrity. Example data types and formats are available at [http://en.wikipedia.org/wiki/List\\_of\\_file\\_formats](http://en.wikipedia.org/wiki/List_of_file_formats).
- 2.6 A great deal of non-digital data may need to be stored securely and/or archived. Various examples of this type of data are:

- Documents: Printed digital, Original artefact, , etc.
  - Images: Photographs (size, print type, age), posters, etc.
  - Artefacts: Physical model (scale/non-scale, size, availability), archaeological, etc.
  - Film: 8/16/32mm, Video, microfilm, negative, etc.
  - Other: Live performance, logical model, etc.
- 2.7 “Standalone” implies a provided information resource that requires no further explanation and may be utilised “as is” without additional resource. Accompanied implies information that is informed by accompanying documentation or resource(s) which help to understand the resource. For example, a database may need to be accompanied by a “metadata” informative document which explains the purpose, use of specific fields, and instructions for utilisation. Details may be requested from the project Supervisor, or the Head of Research.
- 2.8 This item draws on the fundamental area of historical enquiry; what is the historiographical impetus, or historical purpose behind the provision of this information/research, and how may it benefit the historical community. Generally this will either be the full or a paraphrased version of the abstract for a piece of research. Details may be requested from the project Supervisor, or the Head of Research.
- 2.9 Quality Assurance/Management in this context refers to the concise provision of a breakdown of what will be done to ensure that the project’s progress will be monitored for accuracy, quality of work or research, and timely delivery at regular intervals. Typically, this would be the remit of the Research Supervisor, the Project Lead, or the Head of Department. Details may be requested from the project Supervisor, or the Head of Research.

### Section 3: Ethics, Intellectual Property, Citation

- 3.1 If your research impacts on the welfare, confidentiality or economic status of any individual or corporate group, this should be clearly stated. This scenario is unlikely in historical research, but may arise in instances where individuals reveal personal, confidential or sensitive data; also, it may not be appropriate to reveal certain details in the public domain in the interests of individuals or corporate groups. If necessary, further information may be provided on an attached, clearly labelled **typed** or **printed** sheet. For online forms, the space will automatically be increased to accommodate extra text. **NOTE:** details may change as the project evolves; provide a best estimate.
- 3.2 It is vital to comply with applicable law. Provide a brief outline of how relevant legislation and regulations will be complied with where appropriate. Where there is any doubt, the first line of contact is the project Supervisor, or the Head of Research.
- 3.3 See note 3.2 above. Partners in the project must be held to the same legal and regulatory standards. Partners are also protected by applicable law and may avail themselves of the prospect of legal recourse in the event of any perceived illegality or infringement by any party. This applies to all participants effecting or affected by the research project. Where there is any doubt, the first line of contact is the project Supervisor, or the Head of Research.

### Section 4: Access and Use of Information

- 4.1 Sharing data, i.e. making it publically available, may be a requirement of a funding bid, or of a University research project (e.g. Doctoral thesis or research project). Details may be requested from the project Supervisor, or the Head of Research.
- 4.2 Provide details of how you intend to share your data (if relevant). This may include several options, such as an online accessible dataset or database, or online images. It could also be in the form of a paper based document or set of documents. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.



- 4.3 If your data is sensitive (e.g. not suitable for general access until you have completed, or contains personal data or information) you may need to keep the data secure until you are ready to publish – if at all. Similarly, if the project funder requires “mile-stone” releases, this should be flagged. If in doubt, check this with the project Supervisor, or the Head of Research.
- 4.4 It is vital that you have a clear perspective of who the outcome of your research is intended to reach. Funding bodies may stipulate specific outcomes – e.g. public access, etc.
- 4.5 Funding bodies will typically require an explanation of the usefulness of your research once completed, and you should be able to provide a clear idea of what will be done with your data once published or released. Certain obvious options should not be overlooked, such as: paper presented at conference for history community, or book chapter published for community and public research/interest, etc.

## Section 5: Storage and Backup of Data

- 5.1 It is vital that the research materials and data are kept *safely at every stage* of the research process lifespan. There may be help available from IT Services, the Library or the Department. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 5.2 As for 5.1 above, it is vital that you have a clear understanding of how, where and when the research materials and data will be maintained after research process lifespan. This is particularly true where funding bodies have specific outcome criteria (e.g. making a public website available, etc.). There may be help available from IT Services, the Library or the Department. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 5.3 Similarly to 5.1 and 5.2 above, it is vital that you have a clear understanding of how, where and when the research materials and data will be backed up and kept safely, both during and after the after the research process lifespan. This is particularly true where funding bodies have specific outcome criteria (e.g. ensuring that online datasets are maintained for a specific period after the end of a project, etc.). There may be help available from IT Services, the Library or the Department. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 5.4 Very often work is added to, revised or altered and older versions are either overwritten, left as they were, or deleted. It may be wise to maintain a clearly labelled and stored set of older versions of current work in order to backtrack if necessary. It is imperative that a logical and sequenced filing system is used. On computer systems this may be attained by uniquely numbering each version. A useful means of achieving this is by using the current date and time as the unique numbering reference – e.g. “yyyymmdd History Data Management Plan”.

## Section 6: Archiving and Future Proofing of Information

- 6.1 Provide information about how you intend for the project outcome(s) or deliverable(s) to be maintained after the end of the project. For example, a dataset may be perpetually maintained by the University’s online provision. However, this will need to be confirmed. There may be help available from IT Services, the Library or the Department. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 6.2 Any information that is kept after the lifespan of a project will still need to be stored safely, maintained and be provided in a useable format. If specific file formats are used, they may become unusable after a few years as new software replaces the old. Also, media such as DVDs, CDs and diskettes may become unusable after a while. There may be help available

- from IT Services, the Library or the Department. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 6.3 It is vital that any confidential data (e.g. personal information about any individual who is protected under the terms of the Data Protection Act, or information that may infringe copyright if released, etc.) must be kept and maintained in a secure environment. All reasonable steps should be taken to ensure the safety of such information. This applies to any information that is kept after the lifespan of a project as well. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 6.4 Datasets, databases, standalone documents, and even artefacts may prove useless without explanatory notes (metadata) accompanying them. These materials need to be clearly linked to the materials so that they can adequately inform any future user about the material. For example, a published dataset will typically be accompanied by a metadata document that explains the various fields, their usefulness and summarises the purpose of the dataset in general. These documents will be stored along with the dataset and are accessible in the same manner as the dataset (e.g. online, or download). Examples of such accompanying documentation are available for download. If you wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 6.5 Typically, any stored data, materials, artefacts, etc. will need to be cited when accessed and referenced by other researchers. It is useful to provide clear and concise citation information for researchers to access. This can be done via the accompanying documentation (metadata) indicated in 6.4 above. If you wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.

## **Section 7: Resourcing of Data Management**

- 7.1 In the event that this is an individual project or piece of research, your own name should be listed. Include any other staff or assistants are to be involved in the project as well. It may be necessary to include staff from other departments of the University. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 7.2 Funding strategies are often outlined by funders and will include a data management aspect. The costs of any materials, equipment and specialist knowledge will need to be factored to arrive at a reasonable estimate. Include any materials or equipment that will be funded by the University and/or you. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.
- 7.3 As in 7.2 above, funding strategies are often outlined by funders and will include a data management aspect. Typically the University will support on-going research projects, and assist in facilitating post project maintenance and/or presence of outputs. However, this needs to be confirmed to ensure that the service will be available in the form that is required. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.

## **Section 8: Review of Data Management process**

- 8.1 Funders will need to be informed about how the data management process will be implemented. Provide specific information about how you intend to follow through with the commitments and processes that have been discussed in the rest of this document. Typically, regular reviews, reports and assessments of progress will suffice, but some funders may require specific means of identifying adherence to the plan. If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.

- 8.2 Based on 8.1 above, list those who will be carrying out the reviews and subsequent reports or processes necessary to ensure the successful implementation and completion of the data management plan. Typically, in the event of smaller research projects or individual research, the project Supervisor will fill this role. In the event of PhD research, this role will be carried out by the PhD Supervisor(s). If you are uncertain, or wish to explore this avenue further, the first line of contact is the project Supervisor, or the Head of Research.

## Section 9: Statements and Personnel Details

- 9.1 The Statement of Agreement is necessary to clarify the areas of responsibility and work that will be carried out by the various researchers engaged in the project. This information is vital for funding bodies that will require these details.
- 9.2 As in 9.1 above, the Expertise of Researchers is necessary to clarify the areas of responsibility and work that will be carried out by the various researchers engaged in the project. This information is vital for funding bodies that will require these details in the form of a brief résumé for each researcher.

## Section 10: Appendices

- 10.1 Assistance with completing the Plan; follow the instructions to obtain help specific to each section.
- 10.2 Follow the guidance for each specific section as necessary.
- 10.3 This list of Relevant Contacts will be reviewed and altered regularly.

### 10.3 Relevant Contacts

The following list of contacts will be regularly revised as appropriate.

History Head of Research:	Peter Wilson Grant Professor of History Phone: +44 (0)1482 465382 Email: p.h.wilson@hull.ac.uk
Library Services:	Brynmor Jones Library Reception Desk Phone: +44 (0)1482 466581  Brynmor Jones Library Service Desk Phone: +44 (0)1482 465250
IT Services:	IT Helpdesk Phone: +44 (0)1482 462010 E-mail: help@hull.ac.uk
Head of Department:	David Starkey Reader Maritime History Phone: +44 (0)1482 305114 Email: d.j.starkey@hull.ac.uk
Document Author:	John Nicholls Research Fellow Phone: +44 (0)1482 305119 Email: j.nicholls@hull.ac.uk

**Appendix E: Interview Schema**

<b>History Data Management Plan</b>	
<b>Name of interviewee:</b>	
<b>Name(s) of Interviewers:</b>	
<b>Date:</b>	

<b>Which areas of your research do you feel that we may be interested in?</b>
<b>What sort of data does your research give rise to?</b>

**What are you doing with your data?**

**Is your data safe/secure?**

**How far along is your data in the process of finalisation?**

**What are the current prospects for your data?**

**What is being done about this?****What do you see as the intention for your data:**

Public access	Closed access	Secure	Curate-able	Other:
---------------	---------------	--------	-------------	--------

**What is the Life Stage of your data: (Initial state, raw data, project driven, complete, evolving, etc.)****What is the format, appearance, structure of your data?**

<b>Is the data currently available? If yes, how?</b>			
<b>Is your data currently being housed in a repository?</b>			
History Data Centre	eDocs <sup>6</sup>	HYDRA	Other:
<b>If yes, how appropriate, useful, effective do find this?</b>			
<b>If no, do you want/need to have your data housed? Any ideas about this?</b>			
<b>If appropriate, would you be interested in having your data used in a case study? This would involve making the data available, formatting, various options for dissemination and/or secure storage.</b>			

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<sup>6</sup> eDocs was the previous version of the University's institutional repository. It was replaced by (<https://hydra.hull.ac.uk>) Hydra in September 2011 and its content was migrated into the new system.

