Data Management and Sharing Plan Checklist (for Researchers)

This Data Management and Sharing (DMS) Plan Checklist addresses the 6 required elements, numbered 1-6 on this worksheet, in the NIH DMS Policy, effective January 25, 2023 for all new grant proposals.

☐ Refer to the NIH Guidance and check for other data policies outlined by the ICO, specific Request for Applications or Funding Opportunity Announcement, or institutional policies.

☐ Keep track of plan elements that can be included in the grant budget.

1. **Data Type**
   Summarize the scientific data necessary to validate your findings.

   ☐ List or create a table to describe the datasets that will be created or used as part of the study, including:
     - Data type, format, size, and number of files (estimate quantities as necessary).
     - Which datasets will be shared.
     - The level of aggregation, de-identification, or processing/cleaning that will be done prior to sharing.
     - The source of any secondary data, previously collected data reused in this project.

   ☐ List the metadata and other documentation (e.g. a README file) that will be shared with your data to facilitate interpretation.

2. **Related Tools, Software, and/or Code**
   Identify tools, software, and/or code necessary to access or manipulate the shared data.

   ☐ State whether or not specialized tools are needed.

   ☐ For each tool that is necessary, list:
     - Version number and operating system,
     - How they can be accessed (i.e., open source and freely available, generally available for a fee in the marketplace, or available only from the research team or some other source),
     - How long they will be available (if known).

3. **Standards**
   List the standards that will be used for sharing the data and metadata.

   ☐ State whether or not there are data standards for your field that are applicable to your project.
   Typical data standards include:
   - Metadata schemas
   - Standard Terminologies (Controlled Vocabulary and Ontologies)
   - Content/Encoding Standards
   - Common Data Elements
   - Identifiers (PIDs)

Checklist created by the Working Group on NIH DMSP Guidance
4. **Data Preservation, Access, and Associated Timelines**

Provide details and timelines for sharing and preserving data for long-term usability.

- Name the repository(ies) where data will be archived:
  - a. If a particular metadata standard is required, list in the standards section.
  - b. A specific NIH repository may be required in the funding opportunity announcement.

- Specify which type of unique identifier is used by the repository (DOI, handle, ID number, accession number) (Note-an identifier is not required at time of DMS plan submission).

- Revisit your data list from section 1 and state when the data will be made available (portions of the data may be released at different times). Timelines required by the policy are:
  - a. Data will be made available when the work is published or the award/support period ends (whichever comes first) OR
  - b. Data will be made available earlier.

- State the minimum number of years data will be available, based on repository policies.

5. **Access, Distribution, or Reuse Considerations**

Describe how sharing will be maximized while respecting restrictions.

- Describe any considerations that may affect the extent of data sharing:
  - Legal
  - Technical
  - Ethical

- Consider whether data can be shared with access controls or, if there are intellectual property concerns, an embargo period, rather than refraining from sharing altogether.

- If you have human subjects data, describe how you will protect the privacy, rights, and confidentiality of study participants (de-identification, etc.).

6. **Oversight of Data Management and Sharing**

Identify who will be responsible for plan compliance and oversight.

- List names and titles/roles of everyone who will be responsible for monitoring compliance with the data management plan and updating it as needed.

- State how often compliance with the data management plan will be verified (e.g. every ___ months, on the first of each month, etc.).