Updated:
02/10/2023

EXAMPLE DATA MANAGEMENT AND SHARING PLAN (in compliance with SF-424 Forms H)

EXAMPLE FOR HUMAN SURVEY DATA

Commented [JB1]: *These example DMS Plans are provided for educational purposes to assist applicants with developing Plans but are not intended to be used as templates and **their use does not guarantee approval by NIH. Do not copy/paste this Plan without modifying it to reflect the types of data that are expected to be generated through your project.***

Note that the example DMS Plans may reflect additional expectations established by NIH or specific NIH Institutes, Centers, or Offices that go beyond the DMS Policy. Applicants will need to ensure that their Plan reflects any additional, applicable expectations (including from NIH policies, ICO policies, or as stated in the FOA).

In addition, these examples may reflect resources or policies that are in place at other institutions but that are not necessarily available at the University of Iowa. If needed, investigators can contact Research Data Services (lib-data@uiowa.edu) if they have questions regarding how to best complete their DMS Plan.

Commented [BJY2]: *Example from NICHD https://www.nichd.nih.gov/sites/default/files/inline-files/Example_DMS_Plan-Human-Survey-NIH_Format_Page_V2.pdf*

ELEMENT 1: DATA TYPE

A. Types and amount of scientific data expected to be generated in the project:

This study will provide nationally representative cross-sectional data on a target sample of 2,500 children aged 8–17 years and 1,500 primary caregivers (typically one of the child's parents).

The data will include survey interviews with the children and their primary caregivers as well as child time diaries.

In addition, the project will recode raw interview data and time diaries to characterize missing values, for top coding or collapsing variable categories, or other activities as needed. The project will create scale composites from recoded interview data and individual-level links to detailed school data from the National Center for Education Statistics (NCES) and to contextual data based on geocodes for the family's place of residence.

B. Scientific data that will be preserved and shared, and the rationale for doing so:

The raw interview data, time-diary data, and data for administrative linkages will be stored within a secure computing environment. All direct respondent identifiers (e.g., names and addresses) will be removed and maintained in a secure file for future contact purposes.

All other scientific data (coded interview data, scale composites, time diary recodes, school data, and contextual data) will be both preserved and shared. Respondent identifiers will not be shared.

C. Metadata, other relevant data, and associated documentation:

Documentation to be made publicly available to the research community will include a "box-and-arrow" version of the questionnaire (which display the flow of the interview), a detailed User Guide, a codebook with univariate statistics for each variable, and study-level metadata following the Data Documentation Initiative specification. Each variable in the codebook will include a brief description of the item along with the question number and question text from the questionnaire, variable name, variable label, value labels, and standard codes for missing values—including codes for non-applicable, "don't know," and refusal. Documentation will be provided in portable document format (PDF).

ELEMENT 2: RELATED TOOLS, SOFTWARE AND/OR CODE:

Scientific data will be processed and analyzed with STATA and shared in many widely accessible formats, including SAS, STATA, SPSS, dBase, Excel, and ASCII.

ELEMENT 3: STANDARDS:

To facilitate data use, the study will use standard processing and documentation protocols adopted by the Inter-university Consortium for Political and Social Research (ICPSR) for data formats and dictionaries as well as for variable names, descriptions, and labels.

Variable descriptions include a brief explanation of the questionnaire item content or of the constructed measure. Value labels tie individual numeric response codes to descriptive responses from the questionnaire.

Coding of the time diaries will use time-use codes directly comparable to those used in the American Time Use Survey, which is the benchmark US survey for information on time use. Experienced coders

will edit the time diaries and code each activity.

Survey interview questions will be primarily based on the Panel Study of Income Dynamics (PSID). Demographic, economic, and relationship questions will be based on Office of Management and Budget (OMB) standards.

ELEMENT 4: DATA PRESERVATION, ACCESS, AND ASSOCIATED TIMELINES

A. Repository where scientific data and metadata will be archived:

Public use and restricted access study data and associated documentation will be made available to the research community free of charge through the Data Sharing for Demographic Research (DSDR) data repository hosted at ICPSR.

B. How scientific data will be findable and identifiable:

Datasets in DSDR will be findable and identifiable through a study digital object identifier (DOI) minted by ICPSR.

C. When and how long the scientific data will be made available:

Final submission and release of the study data will occur approximately 8 and 12 months following the end of fieldwork, respectively, and within the award period. Study data deposited in DSDR will be available to the research community in perpetuity.

Datasets underlying methodological publications will be shared at or prior to initial publication date.

ELEMENT 5: ACCESS, DISTRIBUTION, OR REUSE CONSIDERATIONS

A. Factors affecting subsequent access, distribution, or reuse of scientific data:

No additional limitations other than the controls and privacy protections described below.

B. Whether access to scientific data will be controlled:

Public Use Data: All deidentified study data that are not designated as restricted use will be made available as public use data to the research community via DSDR. Users of the public use data must register with ICPSR and agree to the Terms of Use, which are designed to protect study participants by limiting data use to scientific research and aggregate statistical reporting, prohibiting attempts to identify study participants, and requiring immediate reporting of any disclosure of study participant identity. Data users also agree not to share or redistribute any data downloads.

Restricted Access Data: Data that are determined to be potentially identifying through indirect or deductive disclosure are provided under restricted data contract to users who demonstrate a valid research need and meet conditions of use. These restricted data will include separate files with geospatial indicators below the level of state, such as county, census tract, block-group, and block for all years; individual-level links to school codes and detailed school data from NCES; and linkages to contextual data. Access to restricted study data is available via a virtual data enclave system at DSDR/ICPSR. The enclave provides remote access to the specific restricted data components for which a user has been approved.

C. Protections for privacy, rights, and confidentiality of human research participants:

Once the fieldwork data collection for this study has concluded, all direct respondent identifiers (e.g., names and addresses) will be removed and maintained in a separate control file for future contact purposes. Participants' identifying information is only accessed by approved staff as part of the project duties within a secure computing environment. Linkages to detailed school data from NCES are based on a school directory look-up that occurs as part of the interview. Geocoding and linkage to contextual information will be done following data collection. Deidentification will be completed by the end of data

processing, prior to the finalization of the public use and restricted data files.

Study respondents will be asked to consent to data collection and sharing with the wider research community.

The privacy, rights, and confidentiality of human subject participants in this study will be protected through the suppression of all direct respondent identifiers, the careful classification of any potentially identifying data as restricted access, the high security standards through which the DSDR/ICPSR virtual data enclave provides access to restricted data for approved researchers, and the project's Certificate of Confidentiality.

ELEMENT 6: OVERSIGHT OF DATA MANAGEMENT AND SHARING:

Monitoring of and compliance with this Data Management and Sharing Plan will be the responsibility of the project's Principal Investigator. The plan will be implemented and managed by professional staff working under the direction of the PI.