

## GUIDANCE ON NEW NSF DATA MANAGEMENT PLAN

**UPDATED ON September 20, 2011**

All proposals submitted on or after January 18, 2011 must describe plans for data management and sharing of the products of research, or assert the absence of the need for such plans. FastLane will not permit submission of a proposal that is missing a Data Management Plan.

The **Data Management Plan will be reviewed as an integral part of the proposal, coming under Intellectual Merit or Broader Impacts or both**, as appropriate for the scientific community of relevance.

**Proposals must include the plan as a supplementary document of no more than two pages.**

**Data management requirements and plans may vary by Directorate, Office, Division, or Program.**

### Basic Template and Directorate Specific Guidance

Unless otherwise specified in a specific program solicitation, or by a directorate's office or division (please see below: Directorate Specific Guidance), your plan may include:

#### A. Types of Data

Types of data: describe existing data to be used and any data to be collected. Include both quantitative and qualitative such as samples, physical collections, software, curriculum materials, images, audio and other materials to be used during project.

#### B. Data Standards

Indicate standards to be used for formatting the data. Examples include:

Quantitative : CSV and control card, STATA, SPSS, Tab delineated and DDI, Graph ML and SAS.

Images: JPEG or TIFF

Audio: MP3 or WAV

Also describe any documentation you will generate to describe the data including any metadata format and content.

If existing standards are absent or deemed inadequate, this should be documented along with proposed solutions or remedies.

C. Access Policies

Describe policies for access and sharing including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights and requirements.

**Harvard University has developed and adopted a Research Data Security Policy requiring appropriate technical and process protections for confidential research data.**

**<http://www.security.harvard.edu/research-data-security-policy>**

**Under the policy, research data is classified into levels indicating the sensitivity of the data. The levels range from Level 1 for "De-identified research information about people and other non-confidential research information" to Level 5 for "Extremely sensitive information about individually identifiable people."**

**Data at each level is subject to a set of detailed technical and administrative process protections that are appropriate to protect the security, privacy and confidentiality of the particular type of data. This policy has been formally adopted by the University and applies to all research involving confidential data whether funded or not.**

**Harvard has a university-wide policy addressing the required protections for intellectual property arising from research. These policies can be found at <http://otd.harvard.edu/resources/policies/>**

**Data will not be encumbered with intellectual property rights (including copyright, database rights, license restrictions, trade secret, patent or trademark) by any party (including the investigators, investigators' institutions, and data providers.); nor is it subject to any additional legal requirements.**

D. Redistribution Policies

Describe policies for reuse and redistribution and production of derivatives.

Sample Recommended Language:

The principal investigators and their institutions will hold the copyright for the research data they generate but will grant redistribution rights to [repository] for purposes of data sharing. Also see Section C above, paragraph 4 and Section E below.

E. Plans for Archiving, Preservation and Access.

Describe plans for archiving data, samples, and other research products, and for preservation and access to them.

Sample Recommended Language (if using Dataverse as the document repository):

The Principal Investigator will make the research data content available for archiving, preservation and access, within the Data Preservation Alliance for the Social Sciences ("Data-PASS") through the Data-PASS terms of use (<http://www.murray.harvard.edu/policies>).

**NOTE: If your research does not require data management, you must include the plan along with the statement that “No detailed data management plan is needed.” You must accompany this statement with a clear justification.**

### Directorate Specific Guidance - Which Guidelines Apply to my Proposal?

Links to data management requirements and plans relevant to specific Directorates, Offices, Divisions, Programs, or other NSF units, are provided below. If guidance specific to the program is not provided, then the requirements established in the [Grant Proposal Guide, Chapter II.C.2.i](#) apply.

Please note that if a specific program solicitation provides guidance on preparation of data management plans, such guidance must be followed.

- Biological Sciences Directorate (BIO) **NEW\*\*\***
  - [Directorate-wide Guidance](#)
- Education & Human Resources Directorate (EHR) **NEW\*\*\***
  - [Directorate-wide Guidance](#)
- Engineering Directorate (ENG)
  - [Directorate-wide Guidance](#)
- Geological Sciences Directorate (GEO)
  - [Division of Earth Sciences](#)
  - [Integrated Ocean Drilling Program](#)
  - [Division of Ocean Sciences](#)
- Mathematical and Physical Sciences Directorate (MPS)
  - [Division of Astronomical Sciences](#)
  - [Division of Chemistry](#)

- [Division of Materials Research](#)
- [Division of Mathematical Sciences](#)
- [Division of Physics](#)
  
- Social, Behavioral and Economic Sciences Directorate (SBE)
  - [Directorate-wide Guidance](#)

### **ADVICE FOR FACULTY - DISCUSS YOUR PLAN IN ADVANCE WITH YOUR PROGRAM OFFICER**

It is likely that research and collaborative activities in your particular field already have informal or formal approaches that address the above requirements. However, this new component will require additional time to prepare. The NSF Policy Office has asked that you discuss your proposed plans as well as any questions or concerns you may have with your program officers. NSF expects that guidance will evolve over time and with experience.

### **ALLOWABLE COSTS FOR PLANS**

Where applicable and reasonable, costs to support dissemination and data management may be included in your budget. Cost of documenting, preparing, publishing, disseminating and sharing research findings and supporting material are allowable charges against the grant (see **AAG Chapter V.B.7**). Plans to support costs beyond the term of the award should also be considered and discussed with your program officer, chair, dean and/or department chair.

### **SUBAWARDS OR COLLABORATIVE PROPOSALS**

If more than one institution is participating in a submission, only one data management plan should be submitted.

### **REFERENCES AND RESOURCES**

Council on Governmental Relations, Access to and Retention of Research Data: Rights and Responsibilities, March 2006. <http://206.151.87.67/docs/CompleteDRBooklet.htm>

National Science Foundation, Proposal and Award Policies and Procedures Guide  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)

Office of Management and Budget, Circular A-110, September 30, 1999. White House Website OMB Home <http://www.whitehouse.gov/omb/circulars/a110/a110.html>

Association of Research Libraries' Resources on DMPs

<http://www.arl.org/rtl/eresearch/escien/nsf/nsfresources.shtml>

NSF FAQ's – NSF's Frequently Asked Questions

<http://www.nsf.gov/bfa/dias/policy/dmpfaqs.jsp>

#### NEED ASSISTANCE?

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