

DMP Review Checklist

Project Title

Date of Review

Student

Reviewer

Instructions

Use this checklist to review a postgraduate student's Data Management Plan (DMP) using the University of Auckland's online DMP tool. The checklist is organised by DMP section.

Keep in mind that a DMP is a living document. The level of detail provided in a DMP might vary depending on how far the project has progressed.

Navigation Tips

- Relevant sections of the DMP are referenced for each question. [People / Principal Investigator](#)
- Suggestions are included to help you work through key topics together. [Activities • Prompts](#)
- Space is provided to add your own notes. [Notes](#)
- If you have questions or complex project requirements, you can contact one of these research support groups. [For specific questions or requirements, contact...](#)

1. Project information

This section contains project information, including the purpose of the research, people involved and their roles and data management responsibilities throughout the project and beyond.

Guidance for Reviewers

Yes N/A A good DMP...

☐ ☐

Contains the minimal information required to identify the project.

[Project information](#)

☐ ☐

Identifies the **project team**, listing:

- Primary Supervisor as Primary Investigator
- Student, assigned the role of PhD student or Master's student
- Primary Supervisor (or appropriate Project team member) assigned the role of Data Manager

[People / Principal Investigator](#)

[People / Project team](#)

☐ ☐

Clearly outlines the roles and responsibilities for data management, naming the responsible individual(s) where possible.

[People / Project roles and responsibilities](#)

☐ ☐

Contains the minimal information required to identify project funding.

[Funding / Funding source\(s\)/scheme](#)

[Funding / Grant/Contract/Award number\(s\)](#)

Notes

i For specific questions or requirements, contact...



FIRST team [↗](#)

Support to find funding information



ResearchHub [↗](#)

Set up a student with an ORCID account

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2. Requirements and Considerations

This section includes data policies that apply to the conduct of this research and help to consider how sensitive data will be treated, including ethical and legal considerations and compliance.

Guidance for Reviewers

Yes N/A

A good DMP...

☐☐

Identifies one or more **research data security classifications** applying to the project.

✓ **Requirements / Research data security classification**

☐☐

Identifies post-award **security assessments** to be completed. If indicated, each of these sections should also be completed.

✓ **Requirements / Research security assessments**

☐☐

Identifies, at minimum, the following institutional policies applying to the conduct of the project:

- Research Data Management
- Research Integrity
- IP Created by Staff and Students
- IT Security

If personal information is being collected/used as part of the project, identifies:

- University's Privacy Policy
- The Privacy Act 2020

✓ **Requirements / Related data policies**

☐☐

Identifies **legal, ethical, data sovereignty, IP and other** considerations for the research data and briefly describes how each consideration will be addressed. ✓ **Considerations that apply ...**

☐☐

Indicates whether **ethical review** is required. If ethical approval has been obtained, refers to the relevant committee and approval number. ✓ **Ethics / Ethics approval number**

☐☐

If **personal information** will be collected/used, describes how compliance with policies and legislation (incl. Privacy Act 2020) will be ensured. ✓ **Ethics / Ethical considerations ...**

☐☐

Lists measures to **manage ethical requirements** that may affect data storage, transfer, use, sharing and/or preservation.

✓ **Ethics / Ethical considerations and management of data**

☐☐

Identifies stakeholders and rights holders to the data & briefly describes plans to consult with these groups.

✓ **Rights holders / Engagement and consultation**

☐☐

Describes how the research is relevant for Māori and how Vision Mātauranga could be incorporated and implemented.

✓ **Rights holders / Vision Mātauranga**

☐☐

Considers the rights of indigenous peoples involved in the research.

✓ **Rights holders / Data sovereignty**

☐☐

Identifies ownership of copyright and IP related to this project.

✓ **Contracts and copyright / Copyright and IP owners**

Notes

Activities • Prompts

- **Consider** research data management decisions based on the research data security classification(s) selected. [🔗](#)
- **Review** the University of Auckland's RDM policy guidance and discuss how you can implement the policy responsibilities for this project. [🔗](#)
- **Learn** about data access, shared ownership rights and appropriate governance to enable CARE, and/or Māori data sovereignty principles. [🔗](#)



For specific questions or requirements, contact...



Faculty-based ethics advisors [🔗](#)

Ethical considerations for research data



Copyright Officer [🔗](#)

Copyright and IP for research and publication



FIRST team [🔗](#)

Funding contracts, agreements or licenses



Centre for eResearch [🔗](#)

Research data policies and RDM consultations

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3. Data

This section describes the data to be created/collected, considers the data source, metadata and documentation, plans for data storage and software and equipment requirements for the project.

Guidance for Reviewers

Yes N/A A good DMP...

- | | | |
|--------------------------|--------------------------|---|
| ☐ | ☐ | Clearly describes or lists data types that will be generated (e.g., numeric, text, audio, or video) and their associated data formats, including, if needed, data conversion strategies..
✓ Creation and collection / Data creation/collection |
| ☐ | ☐ | Gives clear details of how new data will be collected or produced (Primary data) and where existing data (Secondary data) comes from, including stating whether there are any restrictions on the re-use of secondary data.
✓ Creation and collection / Data source(s)
✓ Creation and collection / Data source considerations |
| ☐ | ☐ | Describes the approach taken to ensure and document quality control in the collection of data during the project, and/or how data provenance will be documented.
✓ Creation and collection / Data creation/collection |
| ☐ | ☐ | Clearly describes or lists what non-digital data types will be generated (including tissue samples, if appropriate).
✓ Creation and collection / Non-digital data/physical artefacts |
| ☐ | ☐ | Outlines the metadata that will accompany the data and documentation needed to enable data re-use, stating where the information will be recorded (e.g., a database with links to each item, a 'readme' text file, file headers, code books, or lab notebooks).
✓ Creation and collection / Metadata and documentation |
| ☐ | ☐ | Indicates how the data will be organised during the project (naming conventions, version control strategy and folder structures).
✓ Creation and collection / Metadata and documentation |
| ☐ | ☐ | States the location where the data and backups will be stored during the project.
✓ Storage / Data storage location(s) |
| ☐ | ☐ | Gives clear details of software or equipment used to create and/or collect new data, and to manipulate or analyse the data.
✓ Software and Equipment / ...used to collect/create the data |
| ☐ | ☐ | Describes additional compute resources or high-performance computing resources required to analyse the data.
✓ Software and Equipment / ...used to manipulate/analyse the data |

Notes

Activities • Prompts

- **Discuss** any lab group standard operating procedures (SOPs) or conventions (e.g., file naming, organisation, documentation) that should be followed. [↗](#)
- **Explore** the Choosing data storage page on the ResearchHub together to identify appropriate storage locations for this project. [↗](#)
- **Confirm** any non-standard software and equipment, compute resources or high-performance computing resources required for the project. [↗](#)

i For specific questions or requirements, contact...

✓ Centre for eResearch [↗](#)
Storage and compute

✓ Discipline-specific guidance
Talk to colleagues, managers and mentors about standards or methodologies for data collection and metadata.

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4. Sharing and Access

This section considers who will own and have access to the data (alternatively, who will enable kaitiakitanga, or stewardship), how the data will be preserved and shared (where appropriate) for reproducibility and/or reuse, and plans for retention and disposal.

Guidance for Reviewers

Yes N/A A good DMP...

☐

Identifies who will have the rights to control access to the data.

✓ **Project information** / **People** / **Principal Investigator**

☐

Identifies who will be responsible for ensuring good research data management practices are followed, managing data and information (including metadata), and managing any escalated risks.

✓ **Project information** / **People** / **Project team (Data Manager role)**

☐

Clearly explains who has access to the data during the project and what access conditions will apply.

✓ **During the project** / **Data access and sharing during the project**

☐

Clearly describes whether the data will be shared after the project. If data sharing is limited or not possible, describes who can access the data and under what conditions (e.g., only members of certain communities or via a data sharing agreement).

✓ **After the project** / **Data access and sharing after the project**

☐

States how long the data will be retained to comply with institutional policy and for contractual, legal or regulatory purposes.

✓ **After the project** / **Applicable minimum retention period**

☐

Indicates what data must be retained for contractual, legal, or regulatory purposes. When data is no longer required, describes plans for secure disposal.

✓ **After the project** / **Data retention and deletion**

Notes

Activities • Prompts

- **Action** data sharing agreement(s) that will be required for data providers or external collaborators. These will need to be drafted and signed by the Research Contracts team (contact your FIRST team for details). [↗](#)
- **Discuss** the foreseeable research uses (and/or users) for the data in the future.
 - Learn about balancing the FAIR and CARE data principles. [↗](#)
 - Decide how access to the data will be managed after the project (e.g., open access, mediated access, or no access)
- **Confirm** data to be retained at the end of the project, for how long, and who will take responsibility for these actions. [↗](#)



For specific questions or requirements, contact...



Research Contracts Team [↗](#)
Data sharing agreements



Research Ethics Team [↗](#)
Data retention requirements

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5. Publish and Report

This section describes how data and/or metadata will be made discoverable and shared (enabling FAIR data principles).

Guidance for Reviewers

Yes N/A

A good DMP...

☐☐

Clearly describes how and when data and/or metadata for this project will be made discoverable and shared.

✓ **Publish and Report / Data accessibility**

☐☐

Includes the name of the repository, data catalogue, or registry where data and/or metadata will or could be shared.

✓ **Publish and Report / Data publication(s)**

☐☐

Provides information, if relevant, on any protocol to access the data (for example, if there is a data request procedure).

✓ **Publish and Report / Data accessibility**

☐☐

States the license under which data will be publicly shared.

✓ **Publish and Report / Creative Commons and other licensing**

Notes

Next Steps • Reminders

Date of Next Review

Activities • Prompts

- **Consider** how you will enable others to find and/or access and reuse the research data. Will you share data or a metadata record?
- **Discuss** whether you will publish data or a metadata record via the University-hosted Institutional data repository or a discipline-specific data repository. [↗](#)
- **Learn** about Creative Commons and other licenses. [↗](#)



For specific questions or requirements, contact...



Centre for eResearch [↗](#)

Publishing to the Institutional FigShare data repository



Library Research Services Team [↗](#)

Applying a license to research data