NIH Prospective Research Survey

PI Data Entry Tool — RECURRING Meeting Instrument

This survey instrument is designed to be used by the RADS PIs for guided interviews/surveys with researchers about their ongoing NIH funded research.

- 1. Is this the initial meeting (intake) or a follow-up meeting with a researcher?
 - □ Initial meeting (intake)
 - □ Follow-up meeting

2. Is this the FINAL meeting you will have with the researcher?

- □ Yes
- □ No
- 3. How many previous meetings have you had with this researcher, including the intake meeting?
 - □ One
 - 🗆 Two
 - □ Three
 - □ Four
 - □ Five
 - □ Six
 - □ Seven
 - □ Eight
- 4. Please log in.

Institution:

Last name of researcher:

Researcher Survey Questions

Data Types and Amount

5. Have you collected any data between our last meeting and this meeting?

□ No

5a. (If 'yes' is selected) How much data have you generated/collected up to this point? (Write-In)

Interviewer: Can answer in either TB or Number of Files

Overall Size (write in value — numeric):

Select Units:

- □ MB
- \Box GB
- □ TB
- □ PB
- □ #

Number of Files (write in value):

Select Units:

- □ MB
- \Box GB
- □ TB
- D PB
- □ #
- 5b. What kinds of data have you generated/ collected? (Write-In)

Collaborator Information

6. Since the last time we met, have there been any changes in collaborators, personnel, or lab members who are working on this project with you?

- □ Yes
- □ No
- 6a. Please list any additional collaborators below, with their [WASHU role only] name and salary. I'll ask you about any people who left in a moment.

	Colla	borator Inform	nation	How should salary be interpreted? (Hourly or Salary)
	Name (or unique role only)	Role (if giving name)	Approx Salary/Wage	
Person 1				
Person 2				
Person 3				
Person 4				
Person 5				

7. Have any of these collaborators had a major salary/role adjustment that affects their salary as it relates to the work on this project?

Note: If none, leave blank.

	Collal	borator Inforn	nation	How should salary be interpreted? (Hourly or Salary)
	Name (or unique role only)	Role (if giving name)	Approx Salary/Wage	
Name or Role 1				
Name or Role 2				

	Colla	borator Inforn	nation	How should salary be interpreted? (Hourly or Salary)
	Name (or unique role only)	Role (if giving name)	Approx Salary/Wage	
Name or Role 3				
Name or Role 4				
Name or Role 5				
Name or Role 6				
Name or Role 7				
Name or Role 8				
Name or Role 9				
Name or Role 10				

- 7a. Are there any other notes or comments about your collaborators and their roles/salaries that might have changed between now and our last meeting? (Write-In)
- 8. Have <u>you</u> had any major changes in salary/role as it relates to this project since the last time we met? If so, please let me know the changes in your role or salary. *Note: If none, leave blank.*

PI annual salary (in US \$):

Data Management and Sharing Activities

Now we are going to ask you about activities or actions that we consider to underlie or be part of Data Management and Sharing. These activities are grouped by phases of a research lifecycle, from planning to project closeout. Not all activities may be applicable to you in your work or in where you currently are in the project. I will read each activity and ask if you've done it during this grant lifecycle, have not done it or have not done it yet, or if it doesn't apply to your work. Please consider the time between our last meeting and this one when answering these questions.

For activities you have done, I will ask about whether you did them on your own or within your lab, with support from your institution, or with support from a person, group, or entity outside your institution.

Planning, Design and Start Up of Projects

9. The first set of activities are often done within the 'Planning, Design and Start Up of Projects' phase of research. Only consider the time between this meeting and the last time we met. For planning activities, such as DMP or IRB submission, only say yes if you have modified or changed those documents in the time between our meetings.

	Was this done?				lf yes,	by whom?		Specify units if the following were selected	
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
Preparing data management plans (DMPs) or data management and sharing plans (DMSPs), which includes determining who has responsibility for various research data related activities, and communicating these plans to the research team									
Identifying data management and sharing costs to be included in grant budgets									
Preparing institutional review									

	W	as th	is done?		lf yes,	by whom?		Specify un following select	, were
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
board (IRB) protocols and informed consent language for data sharing									
Determining storage solutions for active research data									
Selecting an appropriate repository (or repositories) for making research data broadly available									
Evaluating data security needs									
Determining intellectual property and copyright considerations									
Assessing and checking for compliance with existing policies and/or federal requirements (for example, Health Insurance Portability and Accountability Act [HIPAA], Family Educational Rights and Privacy Act [FERPA], data use agreements [DUAs], materials transfer agreements, etc.)									

	w	Was this done?			lf yes,		Specify units if the following were selected		
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
Reviewing disciplinary, funder, and institutional standards, and/or good practices for handling, collecting, documenting, and sharing data									

Data Collection, Storage, and Management

10. The next set of activities are often done during the 'Data Collection, Storage, and Management' phase of a research project.

	W	Was this done?			lf yes,		Specify units if following were selected		
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
Developing documentation of data (e.g., data dictionary, protocols), including version control documentation									
Creating or reviewing established quality-control mechanisms or procedures									

	W	Was this done?			lf yes,	by whom?		Specify units if following were selected		
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support	
Evaluating data- analysis tools and processes to support sharing and reproducibility										
Managing active data throughout the project (e.g., storage, security, backup, lab notebooks, including considerations for managing and storing large or specialized datasets)										

Make Data Broadly Available

11. The next set of activities involve actions to 'Make Data Broadly Available.'

	Was this done?				lf yes,		Specify units if the following were selected		
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
Determining what data to share or host, including addressing proper levels of access and security									
Making decisions about where to share or make data									

	Wa	as th	is done?		lf yes,	by whom?		Specify un following select	g were
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
available, and how long it should be available									
Preparing data for sharing (e.g., de- identification, checking for privacy/personally identifiable information [PII]/protected health information [PHI], considering ethical impacts, data selection, data curation*, data cleaning, validation, reproducibility checking, and quality control)									
Submitting data into a data sharing platform/repository, including considerations for sharing, and moving large or specialized datasets, both on local and high performance computing (HPC) resources									
Creating documentation for research data (e.g., structured metadata, README files)									
Selecting or applying licenses to data and software/ code									
Transforming data file formats to be more open or accessible									
Creating or ensuring use of persistent									

	Was this done?				lf yes,		Specify units if the following were selected		
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
identifiers (PIDs) (e.g., digital object identifiers [DOIs], ORCIDs, RORs, etc.)									
Developing or checking for compliance with DUAs or material transfer agreements									

Data Retention, Including Preservation, Archive, and Long-Term Access

12. The next set of activities involve actions done for 'Data Retention, Including Preservation, Archive, and Long-Term Access.'

	W	as th	is done?		lf yes,		Specify units if the following were selected		
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
Migrating files to new formats or across systems as needed									
Monitoring integrity of preserved data									
Making decisions about de- accessioning and removal of research data									
Ensuring data security when appropriate (e.g., PHI/HIPAA, export controls,									

	Was this done?			If yes, by whom?				Specify units if the following were selected	
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
Federal Information Security Management Act [FISMA], student data, and intellectual property)									

Project Closeout and Compliance

13. The final set of data sharing activities are often done during the 'Project Closeout and Compliance' phase.

	Was this done?			If yes, by whom?				Specify units if the following were selected	
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
Ensuring funding agency, institutional, and/or publisher requirements for data sharing and retention have been met									
Completing interim and final research project reports, such as funder and/or institutional reporting requirements to ensure future funding									
Engaging or participating in training or									

	Was this done?			If yes, by whom?				Specify units if the following were selected	
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support
education pertaining to data sharing									

14. Are there any other data management and sharing activities that you, your lab members, or collaborators have done that I did not ask about? (*Leave blank if no*)

	Was this done?			this done? If yes, by whom?					Specify units if the following were selected	
	Yes	No	Not Applicable	Self	Lab / Collaborator	Institutional Support	External Support	Institutional Support	External Support	
Other										
Other										
Other										

Interviewer capture any notes or additions to responses here (Write-In)

Staffing Time

We are interested in learning more about who is doing the data management and sharing activities and the time/costs involved.

For these questions, please again consider the **time frame from our last meeting until this one**.

15. Thinking about the activities listed above, how much time have <u>YOU</u> spent on data management and sharing tasks?

You can either answer in a percentage time if you regularly engage in these activities, or in numbers of hours spent on these tasks if they are done more rarely. Whichever is easiest to answer.

	Amount of Time						
	Percent of Time (0-100)	Number of Hours (whole number)					
Researcher PI							

16. Now, we want to know how much time the various team members you listed before have spent on these activities so far on this grant project.

For each person, you can either answer in a percentage of time if they regularly engage in these activities, or in numbers of hours spent on these tasks if they are done more rarely. Whichever is easiest to answer.

	Amount of Time							
	Percent of Time (1–100%)	Number of Hours (whole numbers)						
Name or Role 1								
Name or Role 2								
Name or Role 3								
Name or Role 4								
Name or Role 5								

Infrastructure Cost

Now we are going to ask about costs associated with purchasing infrastructure generally to support data management and sharing.

When answering this question, please think about the time from our last meeting to this one. Do not include any purchases you reported in our previous meeting, unless there has been an additional expense.

17. Have you purchased any technology, software, hardware, or any other infrastructure that has been used to complete these DMS activities?

	Purchased	Specifics		
	Check if purchased	Description	Cost (in \$)	
Hardware (e.g., computers)				
Software (e.g., licenses)				
Computing time				
Storage fees				
Repository fees				
Other infrastructure fees (write-in)				
Other non-infrastructure fees (e.g., external consultant) <i>(write-in)</i>				

- 18. For expenses you reported (both staff time and infrastructure costs), were there any that were DIRECTLY charged to your grant?
 - □ Yes
 - \Box No
- 18a. (If 'yes' is selected) Please describe which expenses were directly charged to the grant.

Staff time (write-in):

Infrastructure (write-in):

19. For expenses that were not directly charged to the grant, how were these costs covered?

- □ Start up funds
- □ Departmental funds
- □ Other grant funds
- □ Provided by institution
- □ Other, please specify (write-in)

Wrap Up

20. Is there anything else you want to share about your DMS expenses and activities that I have not asked about in this meeting? (Write-In)

Entry use only: Please note any other issues/notes/concerns in this field (Write-in).

Last Meeting Question(s)

21. (If 'final meeting' selected in Q4) After this process, how would you budget differently to cover data management and sharing activities (if at all)? Please explain (Write-In).