

May 9, 2024

To Department Heads,

From the Executive Vice President (for Research)

Notice: Promoting the appropriate management and utilization of research data
in Grants-in-Aid for Scientific Research

A Data Management Plan (DMP) must be prepared for each research project in all research categories from FY2024 to ensure proper management and utilization of research data. In response to this, Tohoku University has established procedures on the creation of DMPs and the outline is in the attached document. Please forward this information on to the relevant people in your department.

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Outline of Tohoku University's Facilitation of Appropriate Management and Utilization of Research Data from Grants-in-Aid for Scientific Research

1. Background

The Council for Science, Technology and Innovation introduced the 'Basic Policies on the Management and Utilization of Research Data Created by Publicly-Funded Research Activities' in April 2021. In response, the Independent Administrative Legal Entity Japan Society for the Promotion of Science (hereinafter referred to as the 'JSPS') established the 'Basic Policies on the Handling of Research Data of Projects Funded' in October 2023. As a result, the preparation of a Data Management Plan (hereinafter referred to as a 'DMP') will be mandatory for all researchers applying for Grants-in-Aid for Scientific Research (hereinafter referred to as 'KAKENHI'). These new policies will apply to all research topics in each research category starting from fiscal year 2024.

A DMP is a formal document that outlines how data generated during research will be managed during and after a project. The information associated with the research data generated by subsidized projects is intended to be disclosed to the public and will be required to be submitted as metadata. The metadata is to be reported in the Research-status Report and the Annual Research Report.

Tohoku University plans to promote the further development of data-driven research and open science as part of its fourth medium-term objectives and medium-term plan. Henceforth, the university intends to build an internal-use DMP registration database by the end of the fourth medium-term objectives period. The database will be based on the Tohoku University Research Data Management and Disclosure Policy, and it is planned to be developed as a data catalog with a search function.

2. Guidance on writing a DMP

With respect to the above-mentioned information, the following points outline the university's facilitation and implementation of appropriate management and utilization policies regarding research data in KAKENHI.

2.1 Preparation of a DMP

For research projects subsidized by KAKENHI, the Principal Investigator must create a DMP for each applicable research topic. While the internal-use database is still in development, please use the example DMP template (an Excel file, in Japanese) available on the JSPS website as a reference.

https://www.jsps.go.jp/file/storage/kaken_01_10_datamanagement/dmp_yoshiki_rei.xlsx

The following are the elements necessary in the DMP format template:

- Name of research data
- Summary of research data
- Research data collector
- Research data manager (fill in only if different from the research data collector)
- Handling sensitive information policy
- Disclosure and sharing of research data policy
- Disclosure and sharing of research data policy details
- Location of disclosure and sharing of research data (URL, DOI)
- Date on which the research data is to be published (tentative)

Each research topic will require the preparation of a DMP. To assist with the preparation, it is acceptable for the Principal Investigator, the Co-Investigator, and the research collaborator(s) to create their own DMP with the final version ultimately compiled by the Principal Investigator.

In this case, the Principal Investigator will complete the JSPS's DMP template up to the 'Personnel-in-charge' area, and then distribute the partially completed forms to the applicable research contributors*. After the form has been completed by the research contributors and submitted to the Principal Investigator, the information from each form will be combined into a single Excel spreadsheet. The finalized version of the DMP will be managed and kept by the Principal Investigator.

* On the example template, the 'Personnel-in-charge' area is indicated by '3. 担当者情報'.

2.2 Data entry in the 'Research Data Management application' (provisional name)

A research data management application (hereinafter referred to as the 'app') is being developed to manage and utilize hard data in accordance with the requirements of research data management, such as DMPs, and to promote Open Access. After the app goes live, research contributors and Principal Investigators are to input the required information, as organized in the DMP template mentioned above. The name of the app is yet to be determined, and it is scheduled to be launched around the summer of 2024. There will be a separate notice with more information regarding the app when it is ready for use.

2.3 Management of research data in accordance with a DMP and periodic updates

The Principal Investigator will continue to progress with their research, adhering to the appropriate research data management procedures specified in the associated DMP. It is important to periodically update the information on the app as necessary as research progresses. The research data shall be

managed and utilized in accordance with the open and closed strategies.

2.4 Submittal and publication of research data generated by subsidized projects

The Principal Investigator will submit the information regarding the research data generated from subsidized projects as metadata, which will then be disclosed online in the Research-status Report and the Annual Research Report. It is important to note that the data submitted will not be the research data itself. It is anticipated that future developments to the above-mentioned app will also include the potential to export the information in the appropriate submittal format. Also, please note that the submitted metadata will be uploaded and published online on 'KAKEN'.

2.5 Storage and management of research data

Research data generated from KAKENHI projects shall be appropriately preserved and managed even after the research has been completed. Principal Investigators are to appropriately manage and store the research data in accordance with the guidelines and internal regulations established by each department. In principle, these departmental guidelines are based on 'Tohoku University Principles for Research Data Management and Storage to Promote Research Integrity', and 'Guidance on Storage Duration and Methods for Research Data, Etc.' as determined by the General Manager of Research Ethics Promotion in March 2016.

For your reference:

Regarding the management and utilization of research data in Grants-in-Aid for Scientific Research | (JSPS) (unofficial translation)

https://www.jsps.go.jp/j-grantsinaid/01_seido/10_datamanagement/index.html (in Japanese only as of May 20, 2024)

Principal Investigator		The section in charge in the department		Research Promotion Department		JSPS
April 2024: Application Period Opens						
Preparation of DMP via DMP Example Template Excel file						
↓ After the launch of the research data management database						
Input the information from the DMP template						
↓ Update DMP alongside research progress						
↓ Preparation of the Research-status Report and Annual Research Report						
Submit the information as metadata in the reports	Submit →	Review of Report	Submit →	Review of Report	Submit →	Upload and publish the metadata and reports to KAKEN
↓ Appropriately manage and utilize research data						