

# NIH's New Data Management and Sharing Policy—How Academic Medical Centers Can Prepare for January 2023

A PRIM&R Virtual Event

**2021 Social, Behavioral, and Educational Research Conference**

November 16



**2021 Advancing Ethical Research Conference**

November 16-19

Taunton Paine & Sara Samuel

# Disclosure

*I have no relevant personal/professional/financial relationship(s)  
with respect to this educational activity*

Taunton Paine, Director, Scientific Data Sharing Policy Division,  
Office of Science Policy, National Institutes of Health

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Sara Samuel, Informationist, University of Michigan

# Presenter 1: Taunton Paine



- Director, Scientific Data Sharing Policy Division, Office of Science Policy, NIH
- Worked in science policy for 10 years
- [ORCID: 0000-0001-9037-4556](https://orcid.org/0000-0001-9037-4556)

# Presenter 2: Sara Samuel



- Informationist, Taubman Health Sciences Library, University of Michigan
- Worked in academic libraries for 16 years
- [ORCID: 0000-0001-6808-2514](https://orcid.org/0000-0001-6808-2514)

# Special Thanks

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- Ellen Wann, PhD, Health Science Policy Analyst, NIH Office of Science Policy
- Diane Wilson, MPP, JD, MA, Assistant Director, Office of Regulatory Affairs, University of Michigan Medical School

# Learning Objectives

1. Understand the specific guidelines, NIH's general expectations, and to whom they apply
2. Discuss essential elements of and best practices for Data Management and Sharing Plans, including examples
3. Identify the resources and stakeholders within an institution who will need to be engaged for researchers to develop adequate plans, along with the challenges they will face and the opportunities that the policy's requirements present

# Overview of the New NIH Data Management and Sharing Policy

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# NIH POLICY FOR DATA MANAGEMENT & SHARING: Data Stewardship Goals

- **Advance rigorous and reproducible research**
  - Enable validation of research results
  - Make high-value datasets accessible
  - Accelerate future research directions
  - Increase opportunities for citation and collaboration

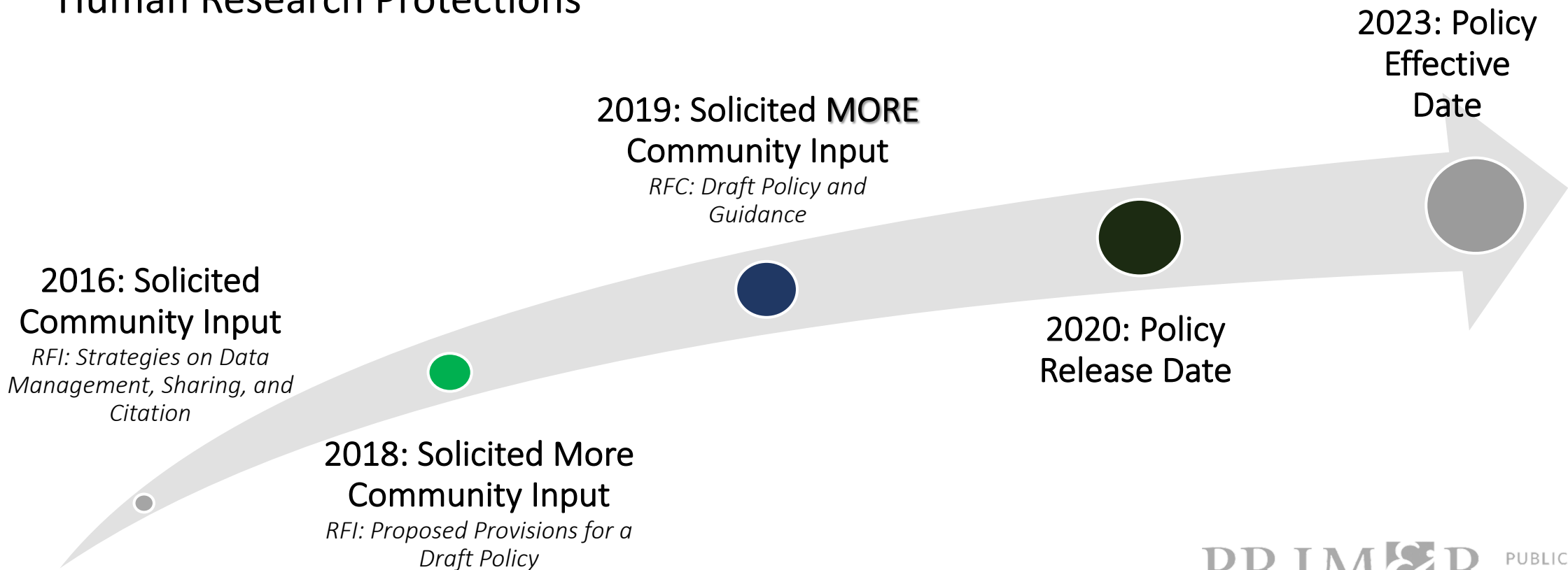


- **Promote public trust in research**
  - Foster transparency and accountability
  - Demonstrate stewardship over taxpayer funds
  - Maximize research participants' contributions
  - Support appropriate protections of research participants' data



# NIH POLICY FOR DATA MANAGEMENT & SHARING: An Iterative Policy Development Process

- Sought public comment repeatedly
- Tribal Consultation\*  
*\*Details provided in [“NIH Tribal Consultation Report: NIH Draft Policy for Data Management and Sharing”](#)*
- Intersection with other government agencies & Secretary’s Advisory Committee for Human Research Protections





## NIH Policy for Data Management and Sharing

- **Submission of Data Management & Sharing Plan for all NIH-funded research**  
*(how/where/when)*
- **Compliance with the ICO-approved Plan** *(may affect future funding)*
- **Effective January 25, 2023** *(replaces 2003 Data Sharing Policy)*
- **Supplemental info available to assist**
- **Aims to foster data stewardship**

# NIH POLICY FOR DATA MANAGEMENT & SHARING: Policy Details

- **Scope:** All NIH-supported research generating scientific data
  - **Recorded factual material** commonly accepted in the scientific community as of sufficient quality to validate and replicate research findings, regardless of whether the data are used to support scholarly publications
  - **Does not include** lab notebooks, preliminary analyses, peer reviews, physical objects
- **Timelines:**
  - For **when to share data**, no later than publication or end of award (for unpublished data)
  - For **how long to share data**, consider relevant requirements and expectations (e.g., repository policies, retention requirements, journal policies) for minimum time frames



'Which brings us to my next point.'

# NIH POLICY FOR DATA MANAGEMENT & SHARING: Additional Expectations for Plans

## ■ SHARING SHOULD BE ...

### • The default practice

- Maximize appropriate data sharing; plans may justify exceptions (i.e., ethical, legal, technical factors)
- All scientific data should be managed; not all scientific data must be shared

### • Responsibly implemented

- Plans should outline protection of privacy, rights, and confidentiality
- Existing laws, regulations, and policies continue to apply

### • Prospectively planned for

- During informed consent, including communicating how data will be used and shared
- Data submission, including whether access to data, even if de-identified, should be controlled



# Supplemental Information to the Policy: Repository Selection

- **Encourages use of established repositories**
- **Helps investigators identify appropriate data repositories**
  - e.g., use of persistent unique identifiers, attached metadata, facilitates quality assurance
  - Refers to list of [NIH-supported Data Repositories](#)
- **NIH ICs may designate specific data repository(ies)**

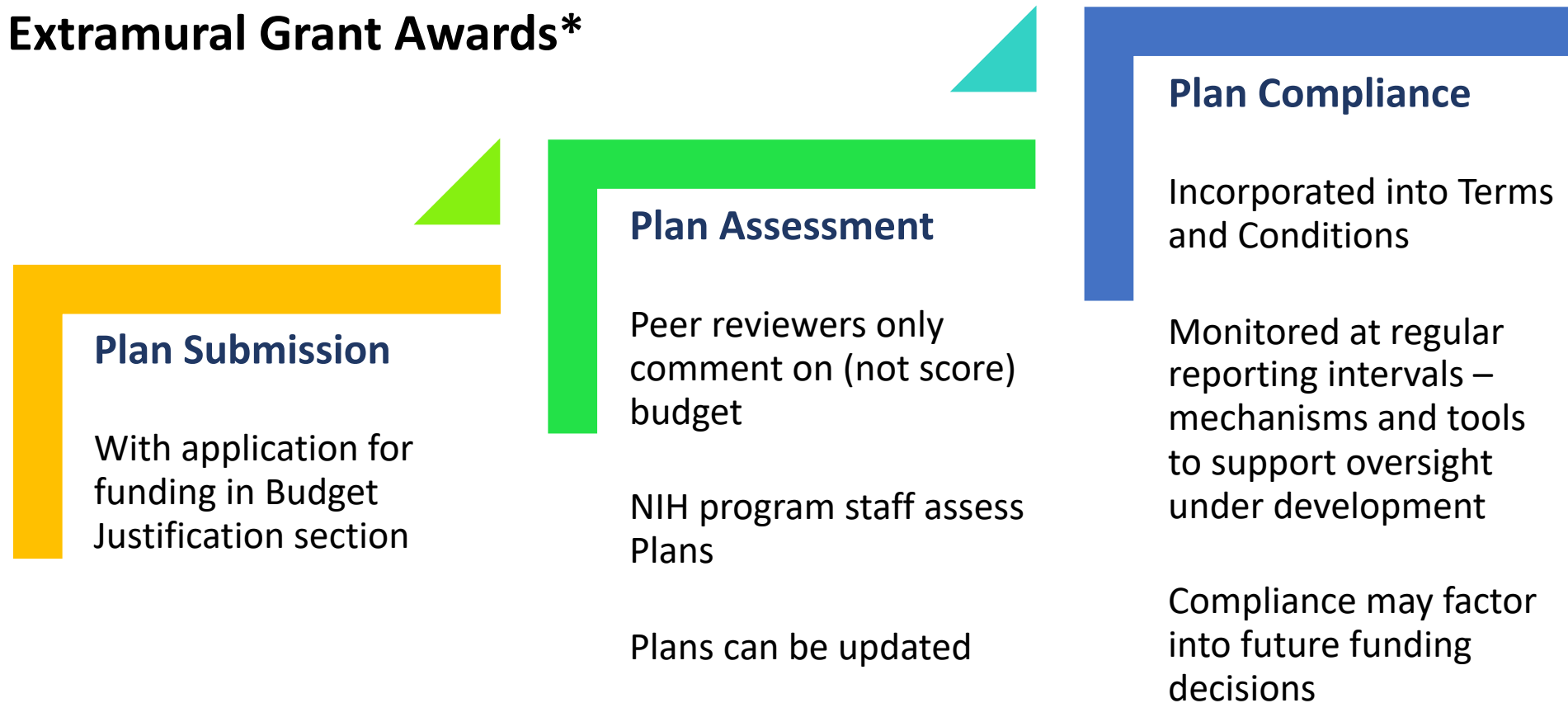
# Supplemental Information to the Policy: Allowable Costs



- **Reasonable costs allowed in budget requests**
  - Curating data/developing supporting documentation
  - Preserving/sharing data through repositories
  - Local data management considerations
  
- **NOT considered data sharing costs**
  - Infrastructure costs typically included in indirect costs
  - Costs associated with the routine conduct of research (e.g., costs of gaining access to research data)

# NIH POLICY FOR DATA MANAGEMENT & SHARING: Plan Submission and Review

## Extramural Grant Awards\*



*\*Analogous requirements for contracts and intramural research*

# NIH POLICY FOR DATA MANAGEMENT & SHARING: Implementation Plans

## What's Next?

- **Engage in outreach** to inform development of additional resources and supplemental information (including tribal-specific considerations)
- **Develop FAQs and other resources** to aid policy implementation
- **Clarify interactions** with other NIH data sharing policies (e.g., NIH Genomic Data Sharing Policy)
- **Develop resources** to inform data management and sharing costs (informed by efforts such as the [2020 NASEM report on forecasting costs](#) & [April 2021 NASEM workshop on the culture of data management & sharing](#))
- **Develop approaches** for incentivizing good data sharing practices



# NIH POLICY FOR DATA MANAGEMENT & SHARING: Implementation Considerations

## What's Next?

- **Approaches and workflows** – Determine the appropriate roles, responsibilities, and processes by which ICs will assess Plans and monitor compliance
- **System changes** – Enhance award management systems and develop tools to support the submission, assessment, and compliance monitoring of Plans
- **Public posting of Plans** including how they will link to repositories, employment of persistent identifiers such as DOI, and FAIR principles
- **Planning communications and guidance** to ensure investigators, institutions, and NIH staff are prepared for the Policy

# Elements and Common Approaches to Data Management and Sharing Plans

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# NIH POLICY FOR DATA MANAGEMENT & SHARING: Data Management & Sharing Plans

- **Propose approach to data management & sharing**
  - Attempt to maximize appropriate sharing
  - Be consistent with FAIR (findable, accessible, interoperable, reusable) principles
  - Be updated throughout the award
- **Outline responsible data sharing**
  - Plans should outline protection of privacy, rights, and confidentiality
  - Existing laws, regulations, and policies continue to apply
- **Reflect applicable NIH Institute, Center, & Office data sharing expectations**
- **Address elements in 2 pages or less**

# NIH POLICY FOR DATA MANAGEMENT & SHARING: Data Management & Sharing Plan Elements

## NIH recommended elements of a Plan:

### 1. Data type

- Identifying estimated type and amount of data to be generated (i.e., modality, level of aggregation, and degree of data processing)
- Which data to be preserved and shared
- Accompanying metadata, other relevant data, and associated documentation to be made available

### 2. Related tools, software, code

- Tools and software needed to access and manipulate data

### 3. Standards

- Standards to be applied to scientific data and metadata

# Data Management & Sharing Plan Elements

## NIH recommended elements of a Plan (cont.):

### 4. Data preservation, access, and associated timelines

- Proposed repository to be used consistent with [Supplemental Information on Repository Selection](#)
- How data will be findable and accessible (e.g., persistent unique identifier)
- When data will be made available and for how long

### 5. Access, Distribution, and Reuse Considerations

- Description of factors potentially affecting data access, distribution, or reuse related to informed consent or privacy and confidentiality protections
- Whether access to human data will be controlled

### 6. Oversight of data management

- Plan compliance will be monitored/ managed and by whom

# Examples

1. Data Type
2. Data Preservation, Access, and Associated Timelines

# Example 1: Data Type

The research team will conduct approximately **20 semi-structured interviews** ... **Each interview will produce 2-3 pages** of hand-typed notes in Word (.docx) format (converted from hand-written notes taken during the interview, which are promptly destroyed) and a one page analytic memo in **Word (.docx) format, both convertible to .pdf** for long-term storage.

In addition, the research team will **conduct analysis of the interview data in the CAQDAS program ATLAS.ti**, which will produce a **.qdp file**, which is the REFI-QDA Standard for interoperability between CAQDAS programs.

The research team may come into possession of additional documents ... These documents will be **digitized as .pdf files** for long-term storage.

Type

Quantity

Formats

Software

Nicholas Bell, University of Pennsylvania and Georgetown University,  
[“Why Do So Few Workers Take Trade Adjustment Assistance”](#)

# Example 2: Data Preservation, Access, and Associated Timelines

## Preservation

Data will be publicly shared and preserved in the repository **Zenodo** (<https://zenodo.org/>).

## Access

**Zenodo is freely available** to anyone to use, and the data will be securely stored in the CERN Data Center. Once deposited in Zenodo and published, the data set will be **assigned a DOI** and will be findable via a web search, the Zenodo repository search feature, or by the assigned DOI.

## Timelines

The data will be published **concurrently with the first associated publication**, but no later than the end of the award period. The data will **be available for at least 20 years**; Zenodo's policies (<https://about.zenodo.org/policies/>) currently state "Items will be retained for the lifetime of the repository. This is currently the lifetime of the host laboratory CERN, which currently has an experimental programme defined for the next 20 years at least."



# Recommended practices for plans

- Start early
- Know your data
- Understand applicable requirements & guidelines
- Aim to share data in a repository
- Connect with data librarian
- Write data management and sharing costs into budget
  - Managers, cleaning up the data, sharing
- Harmonize other documents with the Plan

# How Academic Medical Centers Can Prepare for January 2023

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Sara Samuel

Informationist, University of Michigan

# Institutional readiness

- Identify stakeholders
- Identify local resources
- Recognize and understand challenges
- Identify opportunities
- Actions to take now

# Stakeholders

- Researchers funded by NIH
  - Need to learn new policy and be able to write a Plan
- Research support staff & units (research/grants administrators, IT, library)
  - Need to learn new policy to help researchers
  - Identify important things to look for in a Plan
  - Provide language to accurately describe storage and sharing options
- Institutional Research Leadership
- Graduate students
  - Policy can inform how they learn to do science
- Research participants
- Taxpayers

# Local resources

- Librarians and Informationists
  - Many libraries now have data librarians
    - Identify repositories, provide info about recommended data practices, consult on Plans
- Information Technology
  - Identifying technical infrastructure available for storing/securing data
- Data Office
  - Some campuses may have a data office which can help with crafting data use agreements
- Institutional Data Repository
- Champions – committed and vocal to help with faculty buy-in

# Other resources

- Online Tutorials or MOOCs - Learn about data sharing and data management
- Repositories – deposit guides
- DMPTool - <https://dmptool.org/>
  - Offers institutional affiliations
  - Member institutions can provide tailored guidance

# Challenges

- **Educating stakeholders**
- Gathering resources for outreach and implementing
- Implementing effective outreach
  - Compliance vs “good science”
- Leading and coordinating
- Changing culture
  - Think about data at the beginning of a project, rather than at the end
- Addressing ambiguity: who owns researchers’ data?

# Opportunities

- Recognizing data as valuable research output
  - Incentives, promotion & tenure
  - More opportunities for researchers to collaborate
- Building collaborations with different offices and groups on campus
- Preparing institution and researchers to fulfill growing data requirements from other funding sources or journals
- Creating or updating an institution-wide data policy



# Actions to take now

## 1. Start conversations

# Start conversations

- Who to talk to:
  - Deans & Directors
  - Research administrators
  - Grants administrators
  - Information Technology
  - Library
  - Data Office or honest broker
- What to say:
  - The NIH recently announced a new data policy. Every grant application after January 2023 will need to include a data management and sharing plan. I would like to talk more with you about this. When are you available to meet?

# Actions to take now

1. Start conversations!
2. Review institutional policies

# Review institutional policies

- Check your campus faculty/researcher handbook/guide
  - Research Data Policy
  - Institutional Data Policy
  - Data Ownership
  - Copyright Policy
- Examples:
  - Harvard University - <https://researchdatamanagement.harvard.edu/policies>
  - University of Wisconsin-Madison - <https://data.wisc.edu/institutional-data-policy/>

# Actions to take now

1. Start conversations!
2. Review institutional policies
3. Conduct a Services Gap Analysis

# Conduct a Services Gap Analysis

What services do you have? What will faculty & staff need?

- Planning for data
- Identifying data repository options
- Documenting data
- Protecting sensitive information
- Understanding funder and publisher data requirements
- Curation, documentation, and management of shared data

How do you get the services to the right people at the right time?

How will compliance be monitored at the institution?

Resource: Association of American Universities and Association of Public and Land-grant Universities (2021). *Guide to Accelerate Public Access to Research Data*. Washington, DC.

DOI: <https://doi.org/10.31219/osf.io/tjybn>

# Actions to take now

1. Start conversations!
2. Review institutional policies
3. Conduct a Services Gap Analysis
4. Create pathways to information

# Create pathways to information

- Frequently Asked Questions
- Resource list or website
  - Point to both local and outside resources (don't try to reinvent the wheel!)
- Workflows
  - Which service can help with each part of data management & sharing?



# Draft: Where to find information

## Data Type

Description of research and expected data [grant proposal?]

Consider ethical and legal restrictions for what you can share

## Related tools, software, code

Check laboratory computers for program information used to analyze data

Will you be writing scripts or code to help process the data?

## Standards

Check grant for mention of specific standards

Does your field of study have templates or standards for data collection?

## Data preservation, access, and associated timelines

PI decision to share in repository or not

Repository policies can provide helpful info regarding access and timelines

IT departments can provide description of data storage and backups

PI decision regarding when to share, usually associated with study conclusion

## Oversight

Usually the PI

# Actions to take now

1. Start conversations!
2. Review institutional policies
3. Conduct a Services Gap Analysis
4. Create pathways to information
5. Make an outreach plan & implement it

# Make an outreach plan & implement it

- Identify champions
- Decide on outreach approach – compliance vs “good science”
- Decide on various methods & timelines for each
  - Videos, flyers, digital signs, workshops, meetings, emails, newsletters
- Write an “elevator speech” and/or presentation to build awareness

# Actions to take now

1. Start conversations!
2. Review institutional policies
3. Conduct a Services Gap Analysis
4. Create pathways to information
5. Make an outreach plan & implement it

**Do you have any resources or additional suggestions? Please share in the chat!**

# Additional Resources

- NIH Data Management & Sharing Policy - [https://grants.nih.gov/grants/policy/data\\_sharing/](https://grants.nih.gov/grants/policy/data_sharing/)
- Selecting a Repository for Data Resulting from NIH-Supported Research - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-016.html>
- re3data (Registry of Research Data Repositories) - <https://www.re3data.org/>
- Briney KA, Coates H, Goben A (2020) Foundational Practices of Research Data Management. Research Ideas and Outcomes 6: e56508. <https://doi.org/10.3897/rio.6.e56508>

# Thank You - Questions?

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