FEDERAL DEMONSTRATION PARTNERSHIP
Redefining the Government & University Research Partnership

NIH Data Management and Sharing Pilot

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Meeting Agenda

- Background Information
- NIH IC Observations shared in December 2023 Townhall
- Preliminary Results from FDP Pilot Survey
- Institutional Planning for Oversight of DMS Plans
- Phase 2 Planning
- Discussion

Pilot Background

Under the new NIH Policy for Data Management and Sharing, each NIH Institute, Center, and Office (ICO) has the flexibility to develop more specific requirements to best meet the needs of the particular field(s) it funds; however, significant variation in ICO-specific requirements will place substantial administrative burden on researchers to first navigate the varying requirements before they can begin developing their DMS Plan.

The FDP NIH DMS Pilot is an FDP and NIH collaboration engaging NIH ICOs, Office of Extramural Research SMEs, the Office of Science Policy and OPERA/Compliance which aims to:

- Generate greater consistency in DMS Plan requirements across NIH ICs and programs and
- Mitigate the administrative burden for researchers associated with DMS Plan development and implementation.

Pilot Phase 1: NIH DMS Plan Template Pilot

- We will test the effectiveness and usability of two DMS Plan templates developed in collaboration with representatives from participating ICs:
  - **Alpha Template** is a prescriptive template designed to limit the need for free text entry
  - **Bravo Template** aims to provide detailed prompts as well as more options to include free text responses as necessary.
- We will gather data from the researcher/faculty perspective as well as the NIH program perspective.
- Support Providers can also submit their feedback here: https://nas.qualtrics.com/jfe/form/SV_8CgFumIT0aWqnbM
- Tried one of the pilot templates?
  - Share your feedback with us here: https://nas.qualtrics.com/jfe/form/SV_b8lylBfDWnINcrA

Town Halls

- Listening sessions open to a broader audience.
- All are invited.
- Recordings and session materials posted on https://sharing.nih.gov/about/learning and the pilot webpage.
- Sessions previously held on:
  - Wednesday, May 31st, 1-2:30 pm Eastern
  - Monday, July 17th, 10:30 am-12 noon Eastern
  - Thursday, December 14th, 1-2:30 pm Eastern

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You Are Invited To Participate in a Pilot of Data Management and Sharing Plan Templates

By Mike Lauer

Posted November 30, 2023

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2 Comments

The Federal Demonstration Partnership (FDP) is an association of federal agencies, research policy organizations and academic research institutions with the mission of streamlining the administration of federally sponsored research and create resources that are available to the research enterprise. We have work closely with them over the years on various activities, including efforts to implement our Data Management and Sharing (DMS) Policy that went into effect in January. Since March, we have engaged with FDP to pilot test two DMS plan templates. These templates were developed in close collaboration with staff and leadership from offices across NIH, and we seek your input on them.

https://nexus.od.nih.gov/all/2023/11/30/you-are-invited-to-participate-in-a-pilot-of-data-management-and-sharing-plan-templates/

Phase 1 Participants (so far!)

- Brandeis University
- Cleveland Clinic Lerner College of Medicine of CWRU
- Duke University
- Emory University
- Fred Hutchinson Cancer Center
- George Washington University
- Harvard Medical School
- Johns Hopkins University
- Mayo Clinic
- New York University
- San Jose State University Research Foundation
- St. Jude Children's Research Hospital
- The Rockefeller University
- University of Chicago
- University of California San Diego
- University of Louisville
- University of Nevada Las Vegas
- University of North Dakota
- University of Oregon
- University of Texas Health Science Center at San Antonio
- University of Wyoming
- Yale University

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NIH IC Observations

NIH Preliminary Observations from DMS Plan Submissions

THANKS!

- **NICHD:** *Eunice Kennedy Shriver* National Institute of Child Health and Human Development
- **NCI:** National Cancer Institute
- **NIMH:** National Institute of Mental Health
- **NIBIB:** National Institute of Biomedical Imaging and Bioengineering

Common Themes

- So far, most applicants are using the OER DMS Plan format page.
- Vague reasons for not sharing data.
- Planning to share only through “publication” and “conferences”, or “by request.”
- Not using an established repository or not committing to one.
- Naming a data repository that is not a good fit (not broadly accessible, inappropriate for the data type).
- When listing multiple repositories, not indicating which data goes to which.
- Lacking budget requests, lacking details when there is a budget request.
- Plans that used any template or included tables or lists were more likely to meet policy requirements .
- All data proposed in the Research Plan of the grant application should be discussed in the DMS plan.

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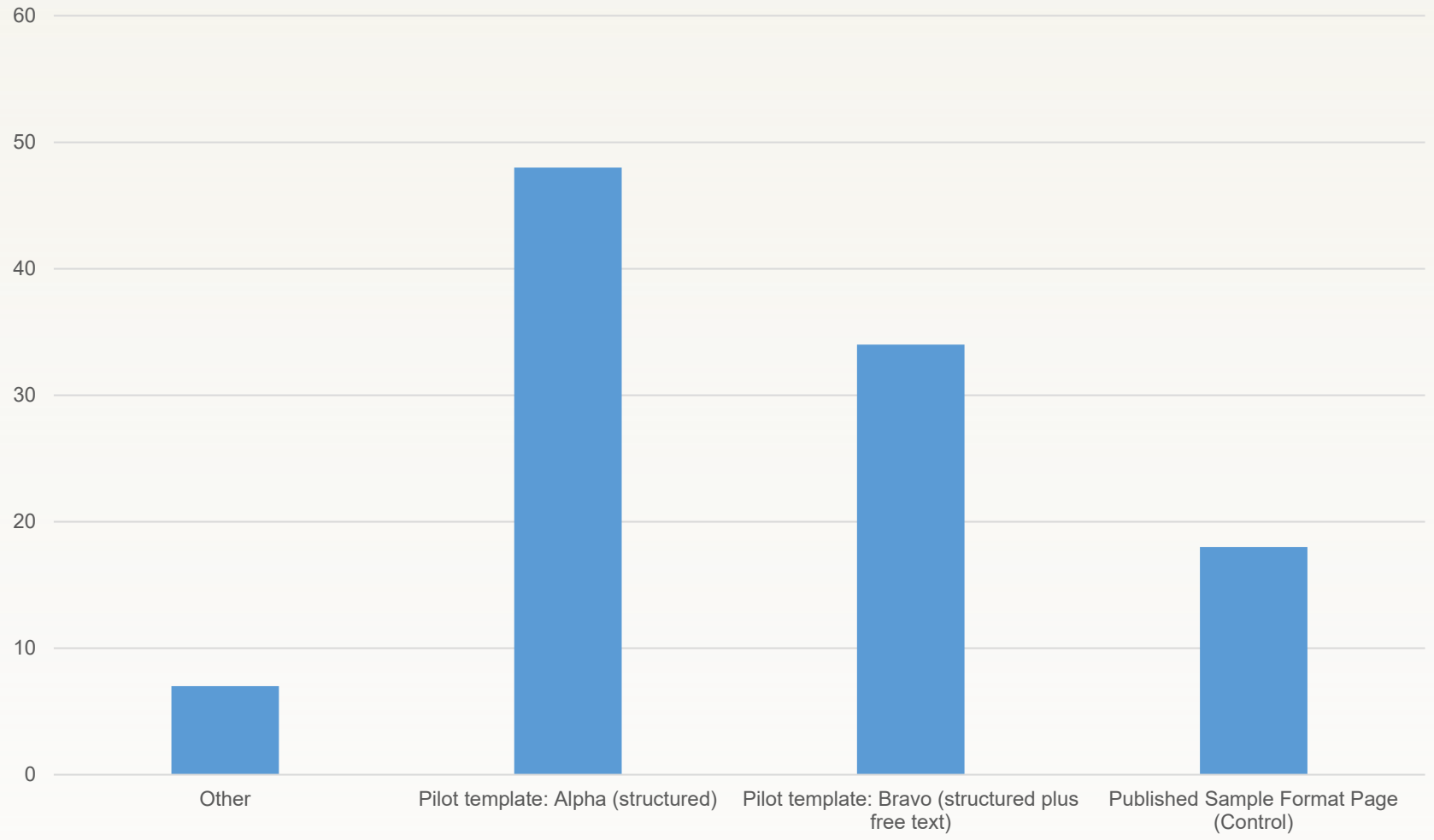
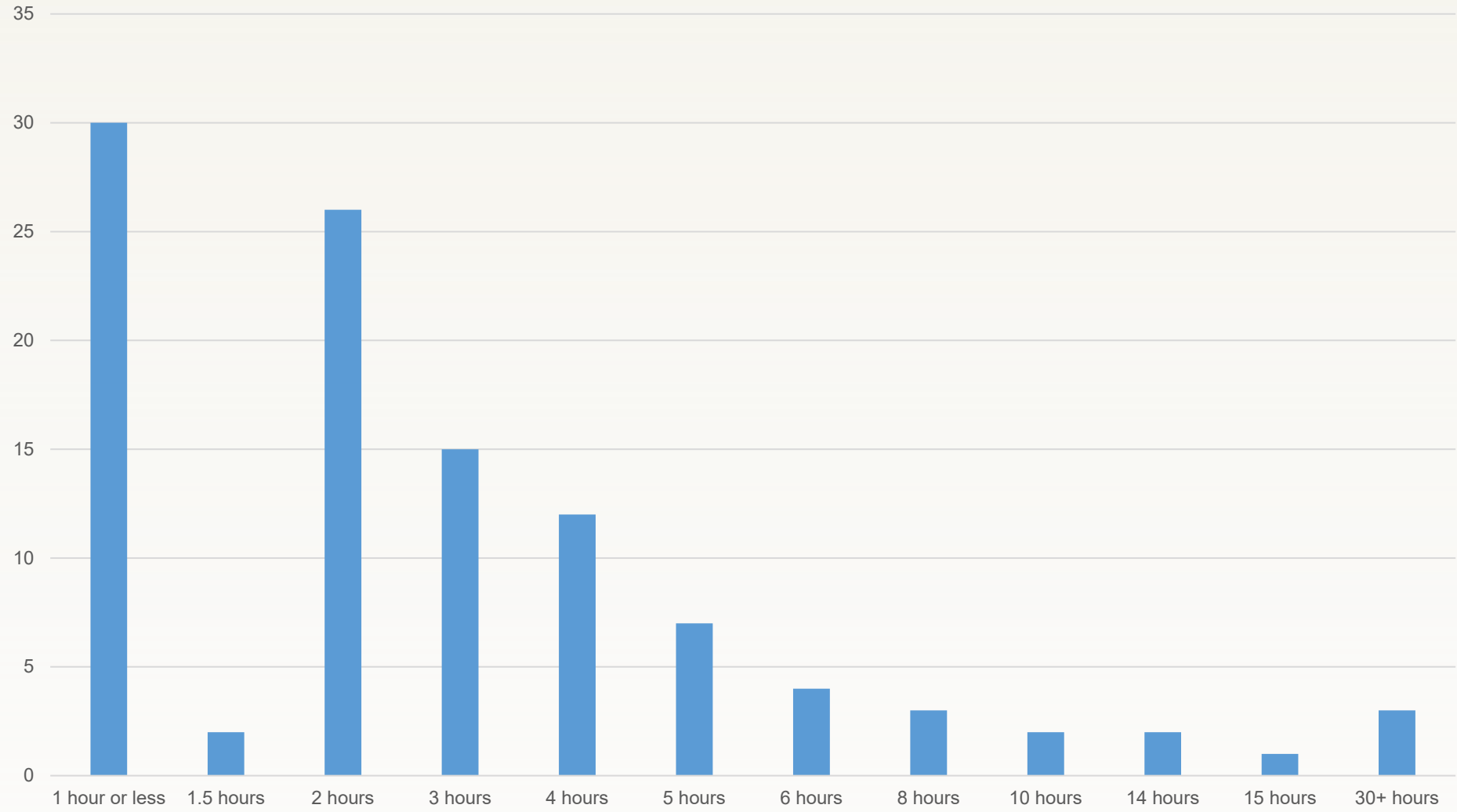
Early Researcher DMS Plan Submission Feedback

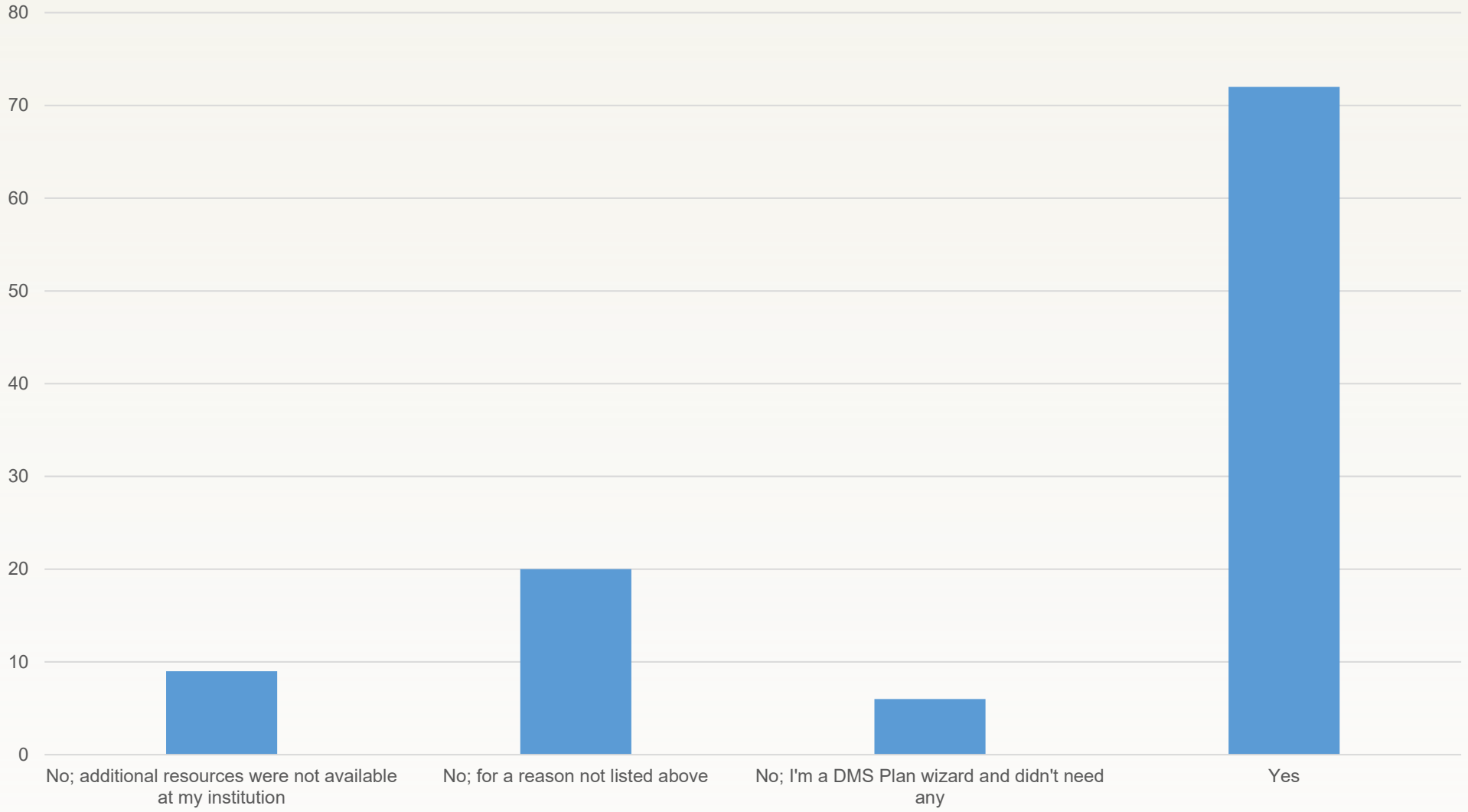
Which template did you submit?



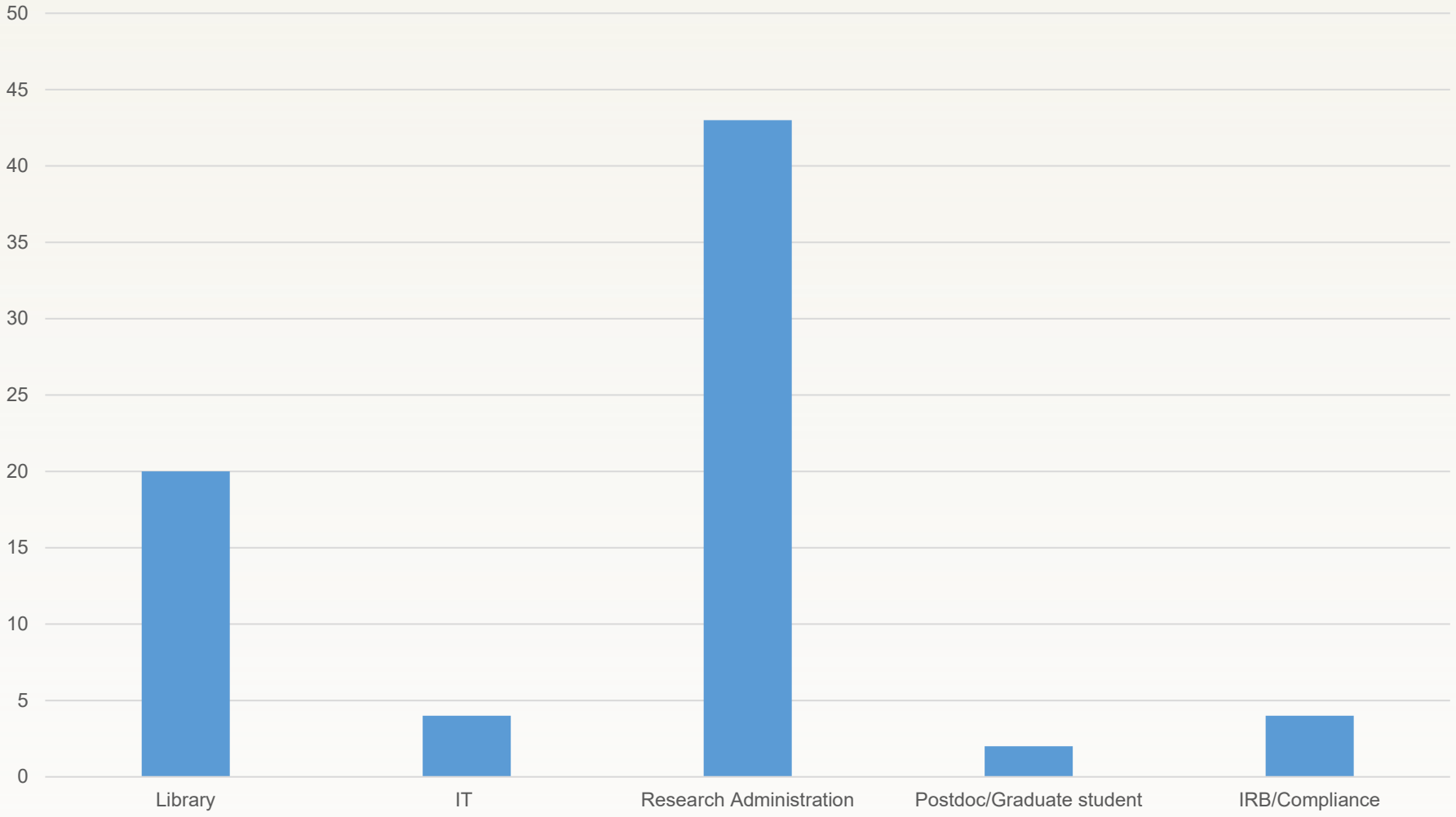
How much time did you spend completing the DMS Plan?



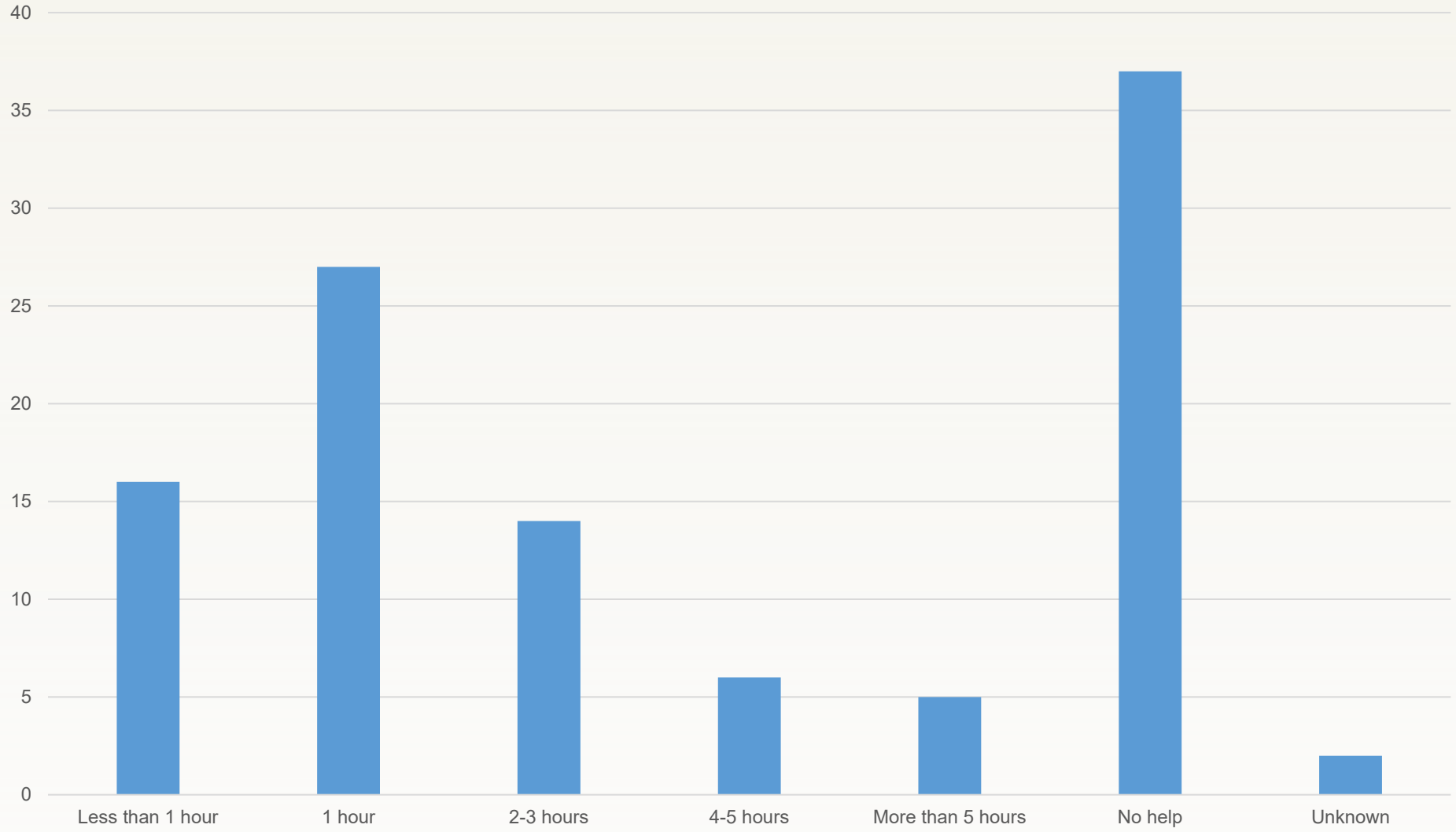
Did you have assistance from others to complete the DMS Plan?



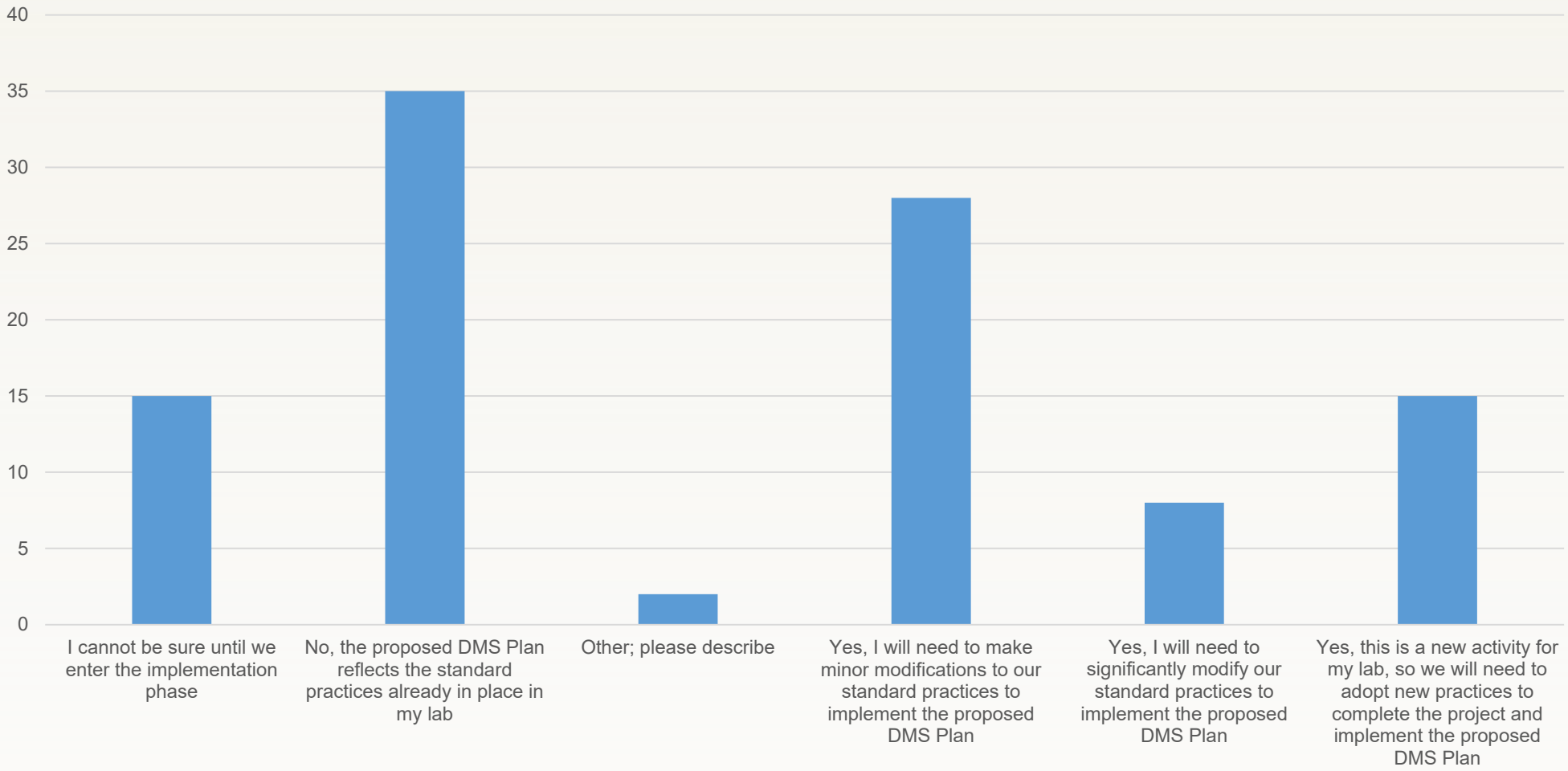
Who assisted you with creating your plan?



How much time did others spend assisting you to complete the DMS Plan?

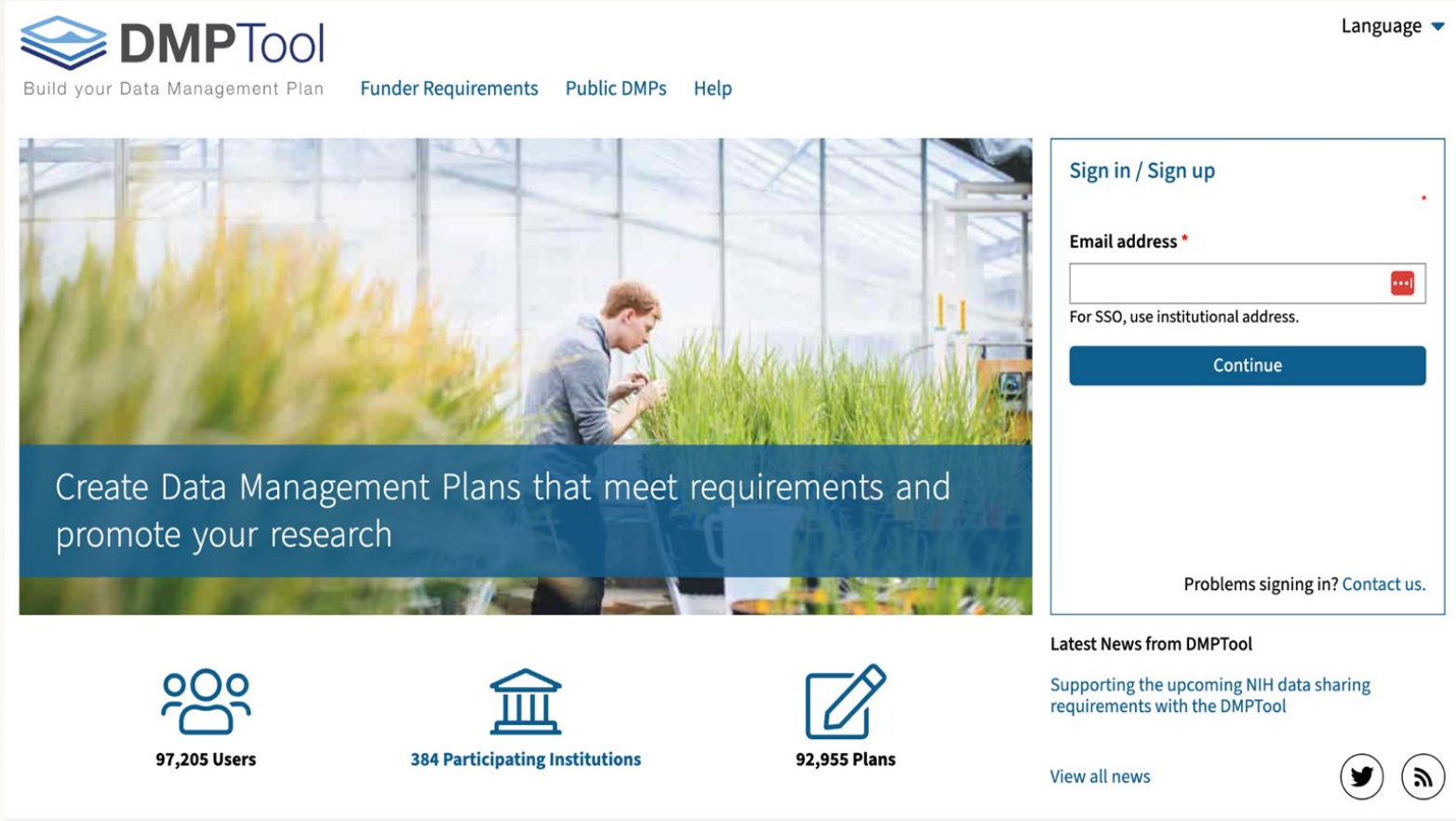


Will you need to adjust the standard practices in your lab in order to implement the DMS Plan as proposed?



DMPTool by the numbers

- 238 uses of Alpha in DMPTool.org (and 123 test plans)
- 51 uses of Bravo in DMPTool.org (and 27 test plans)



Initial Qualitative Feedback

- In order of prevalence:
  - Technical issues trying to use the template
  - Generally need more guidance on the level of detail required, instructions on how to complete the plan, and information on what meets data management and sharing best practices
    - Specifically, more guidance needed when using secondary data
  - The pilot templates seem more targeted towards human subjects research
  - It is very difficult to know some of the requested information at the proposal stage
  - The plan seems long and requests potentially redundant information

Interested in joining?

- Phase 1 is still accepting new participating organizations!
- Email NIHDMSPilot@thefdp.org to request a copy of the pilot MOU for review and signature

**Participation is not limited to FDP member organizations*

Planning for Oversight of DMS Plans

- Plans should, “Indicate how compliance with the Plan will be monitored and managed, frequency of oversight, and by whom (e.g., titles, roles)”
- How are institutions planning to approach monitoring and oversight?
- What guidance has your institution provided on completing this section of the DMS Plan?

Pilot Phase 2: Cost Policies

- Establish common cost principles, identify types of costs required, and determine how to identify additional/unforeseen costs that may be required to meet the spirit of the data sharing policy.

IC Observations – Budget Themes

- Plans are lacking budget requests, and lacking details when there is a budget request.
- Cost requests need to account for specific costs such as:
  - Personnel support for preparing data submissions to repositories
  - Collaborations with institutional librarians or investigators on other NIH awards, such as data coordinating centers
  - Repository fees

Pilot Phase 2: Cost Policies

- Priority Remains Focused on Phase 1
- Pre-Planning Thoughts – Phase 2
  - Improving Budgeting of DMS Costs
    - Create tools (Personnel Cost Estimator)
    - Guidance on allowability (direct, indirect, and service center costs)
    - Addressing Post-closing related costs
    - Modular budgets
  - Understanding the Total Cost to the institution
    - If not a direct charge, where are the institutional costs being incurred (and possibly recovered)

Initial Phase 2 Project: Personnel Effort Estimator

- Personnel effort represents a significant DMS cost
- Despite application budgeting instruction update, still important to accurately estimate effort required:
  - NIH still requires information on costs within the budget justification
  - Need to ensure that sufficient personnel effort is allotted to complete the necessary DMS activities

Phase 2 Next Steps

- Volunteers needed for project working group
- Do you have a tool or other resource you use at your institution? Please send to NIHDMSPilot@thefdp.org

Discussion/Q&A

Questions? Concerns? Suggestions?

Contact NIHDMSPilot@thefdp.org