



IUPUI | November 2020

Final NIH Policy for Data Management & Sharing

DMS Policy & Related Announcements

[NOT-OD-21-013](#) - Final NIH Policy for Data Management and Sharing

[NOT-OD-21-014](#) – Supplemental Information to the NIH Policy for Data Management and Sharing: Elements of an NIH Data Management and Sharing Plan

[NOT-OD-21-015](#) – Supplemental Information to the NIH Policy for Data Management and Sharing: Allowable Costs for Data Management and Sharing

[NOT-OD-21-016](#) – Supplemental Information to the NIH Policy for Data Management and Sharing: Selecting a Repository for Data Resulting from NIH-Supported Research

[NOT-OD-20-013](#) - Request for Public Comments on a DRAFT NIH Policy for Data Management and Sharing and Supplemental DRAFT Guidance



Logistics

1. Effective Date: January 25, 2023
2. Required submission of data management & sharing (DMS) plans **at the time of application**
3. Compliance will be monitored
 - Extramural Awards: The Plan will become a Term and Condition of the Notice of Award.
 - After the end of the funding period, non-compliance with the NIH ICO-approved Plan may be taken into account by NIH for future funding decisions for the recipient institution
4. Scope: “The DMS Policy applies to all research, funded or conducted in whole or in part by NIH, that results in the generation of scientific data.”



Review of Data Management & Sharing Plans

“The final DMS Policy maintains NIH Program Staff assessments of Plans’ merits. However, **peer reviewers may comment on the proposed budget for data management and sharing, although these comments will not impact the overall score.** This approach balances the benefit of consistency afforded by NIH Program Staff review of Plans, review of updates, and **compliance monitoring**, with the opportunity for peer reviewers to comment on the requests for data management and sharing costs. Over time, and through these reviews, we hope to learn more about what constitutes reasonable costs for various data management and sharing activities across the NIH portfolio of research.”



New definition of Scientific Data

“The 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.**

Scientific data do not include laboratory notebooks, preliminary analyses, completed case report forms, drafts of scientific papers, plans for future research, peer reviews, communications with colleagues, or physical objects, such as laboratory specimens.”



Data derived from human subjects

“NIH promotes thoughtful practices” and provides 3 concepts to guide decision making:

1. address data sharing in the informed consent process
2. any limitations on use of data should be communicated to those who are preserving and sharing the data
3. consider whether controlled access is appropriate



When data are expected to be shared

“[s]hared scientific data should be made accessible **as soon as possible, and no later than the time of an associated publication, or the end of the award/support period, whichever comes first.**”



Data retention & security

- Data retention - “indicated a framework for helping researchers think through a minimum time period for data availability”
- Data security – removed the prompt for researchers to address this topic; this is best addressed by institutions and repositories preserving and sharing the data



Where to share data

NIH “strongly encourages the use of established repositories to the extent possible”



Costs & Budget

“Personnel costs required to perform the types of data management and sharing activities described in the final Supplemental Information are allowable.”

“...funds for these activities must be spent during the performance period, even for scientific data and metadata preserved and shared beyond the award period. NIH funds cannot legally be spent after the award period.”



Key elements of a DMS Plan

1. **data type** - including estimated amount of data generated or used and description of what data will be preserved and shared
2. **related tools, software, or code** - indication of whether specialized tools are needed to access or manipulate shared scientific data to support replication or reuse, and name(s) of the needed tool(s) and software
3. **standards** - indication of what standards will be applied to the scientific data and associated metadata
4. **data preservation, access, and associated timelines** – name of the repository(ies), how the data will be findable and identifiable, when the data will be made available to others and for how long
5. **access, distribution, or reuse considerations** – informed consent, privacy & confidentiality protections, whether access will be controlled, any other restrictions or considerations
6. **oversight of data management and sharing** – indicate how compliance with the Plan will be monitored and managed



Choosing a data repository

- some programs, types of data, Institutes, Offices, or FOA may indicate particular data repositories to be used
- “Primary consideration should be given to data repositories that are discipline or data-type specific to support effective data discovery and reuse.”

Desirable characteristics (from [NOT-OD-21-016](#))

Unique persistent identifiers (DOI)	Clear use guidance
Long-term sustainability	Security and integrity
Metadata	Confidentiality
Curation & quality assurance	Common format
Free and easy access	Provenance
Broad and measure reuse	Retention policy



Questions

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