



#### **New NIH Data Management and Sharing Policy**



- NIH Data Management and Sharing(DMS) Policy goes into effect on January 25, 2023.
- Goal to promote the sharing of scientific data and create a consistent minimum expectation for all research supported by the NIH.

#### Why share data?

 Sharing scientific data accelerates research discovery by enabling the validation of research results, providing accessibility to high-value datasets, and promoting data reuse for future research studies.



# Plan Elements

## **Elements of a DMS Plan**

**Data Type** 

Identify data and metadata to be preserved and shared

Tools, Software, Code

Tools and software needed to access and manipulate data

**Standards** 

Standards to be applied to scientific data and metadata

**Data Preservation, Sharing, Timelines** 

Repository to be used, persistent unique identifier, and when/how long data will be available

Access, Distribution, Reuse

Description of factors for data access, distribution, or reuse

**Oversight** 

Plan compliance will be monitored/managed and by whom



# New Info for DMS Plan: No Hypertext

- Do not include hypertext in the DMS Plans and attachments.
  - hyperlinks and URLs
- NIH may withdraw your application from consideration if hypertext is included.
- For Example, in DMS Plan, you should include the name of the proposed data repository but do not provide the link or URL.
- For more guidance on what to include, see NIH's Writing a Data Management & Sharing Plan page and NIH's hyperlink policy
  - https://nexus.od.nih.gov/all/2019/05/13/the-dosdonts-of-hyperlinks-in-grant-applications/





# NIH Data Sharing Landscape



# Research Data Repositories

#### NIH encourages the use of established Data Repositories

**Data repository:** is a centralized location where data are curated, preserved, and made accessible.

Data repositories are best suited to oversee the long-term storage and preservation of data.

Repositories have specific data management requirements:

- accepted file types
- metadata standards
- documentation requirements (e.g., data dictionaries, code keys, data sharing consent form's)
- associated costs

Researchers need to determine the appropriate data repository when writing their DMS plan.

#### Cannot be done at the end of the project!

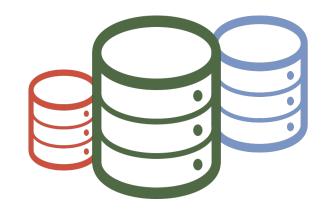


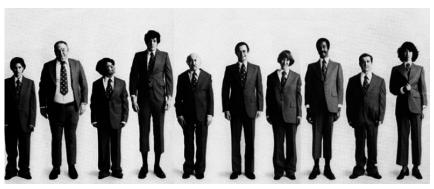
https://www.infotoday.com/cilmag/apr16/Uzwyshyn--Research-Data-Repositories.shtml



# Selecting a Data Repository

- Types of Repositories Available:
  - Subject or Discipline-Specific Repository
  - Generalist Repository
  - Institutional Repository
- Repository selection should be based on:
  - sensitivity of the data
  - size and complexity of the dataset
  - anticipated data usage
- There is no one-size fits all repository!





https://www.mbrouns.com/posts/2020-02-20-prior-has-some-potential/



#### Considerations for Selecting a Repository

• To the greatest extent possible, data repositories should follow best practices for data management and stewardship that maximize the principles of **FAIR Data Sharing** 

**F**indable

 Data and supplementary materials have sufficiently rich metadata and a unique and persistent identifier.

**A**ccessible

 Metadata and Data are understandable to humans and machines. Data is deposited in a trusted repository.

Interoperable

 Metadata use a formal, accessible, shared, and broadly applicable language for knowledge representation.

**R**esuable

 Data and collections have a clear usage licenses and provide accurate information on provenance.



#### Desirable Characteristics for All Data Repositories

❖ Characteristics determined by the NIH and the National Science and Technology Council.

Unique Persistent Identifiers	•	Assigns a citable, unique persistent identifier to datasets to support data discovery, reporting, and research assessment.
Long-Term Sustainability	•	Long-term plan for managing data; stable technical infrastructure and funding plans; contingency plans in case of unforeseen events.
Metadata	•	Ensures datasets are accompanied by metadata to enable discovery, reuse, and citation.
Curation and Quality Assurance	•	Provides expertise to improve the accuracy and integrity of datasets and metadata.
Free and Easy Access	•	Provides maximally open access, consistent with legal and ethical limits.
Broad and Measured Reuse	•	Makes datasets and their metadata available with broadest possible terms of reuse; enables data tracking.



#### Desirable Characteristics for All Data Repositories continued

Clear Use Guidance	<ul> <li>Provides accompanying documentation describing terms of dataset access and use.</li> </ul>
Security and Integrity	<ul> <li>Documented measures in place to meet accepted criteria for preventing unauthorized access, modification, or release of data, with security levels appropriate to the sensitivity of data.</li> </ul>
Confidentiality	<ul> <li>Documented capabilities for ensuring confidentiality, risk management, and continuous monitoring for sensitive data.</li> </ul>
Common Format	<ul> <li>Datasets and metadata can be downloaded, accessed, or exported in a standards-compliant format.</li> </ul>
Provenance	<ul> <li>Mechanisms in place to record the origin, chain of custody, and any modifications to submitted datasets and metadata.</li> </ul>
Retention Policy	<ul> <li>Provides documentation on policies for data retention within the repository.</li> </ul>



#### **Additional Considerations for Human Data**

❖ Additional repository characteristics for human participant data even if data are de-identified.

Fidelity to Consent	<ul> <li>Documented procedures to restrict dataset access and uses consistent with original consent.</li> </ul>
Restricted Use Compliant	Documented procedures to communicate and enforce data use restrictions.
Privacy	<ul> <li>Implements and provides documentation of measures to protect human subjects' data from inappropriate access.</li> </ul>
Plan for Breach	Security measures that include a response plan for detected data breaches.
<b>Download Control</b>	Controls and audits access to and download of datasets.
Violations	<ul> <li>Procedures for addressing violations of terms-of-use by users and data mismanagement by the repository.</li> </ul>
Request Review	<ul> <li>Makes use of an established and transparent process for reviewing data access requests.</li> </ul>

# Determining Repository Trustworthiness



## **Trustworthy Repositories**

Repositories can demonstrate their trustworthiness by adhering to the TRUST Principles for Data Repositories.

**T**ransparency

• To be transparent about specific repository services and data holdings that are verifiable by publicly accessible evidence.

Responsibility

• To be responsible for ensuring the authenticity and integrity of data holdings and for the reliability and persistence of its service.

**U**ser Focus

 To ensure that the data management norms and expectations of target user communities are met.

**S**ustainability

• To sustain services and preserve data holdings for the long-term.

Technology

 To provide infrastructure and capabilities to support secure, persistent, and reliable services.



# **Demonstrating Trustworthiness**

- Repositories also demonstrate their trustworthiness through a process of audit and certification.
- Certification allows data repositories to demonstrate that an independent authority has evaluated and endorsed its trustworthiness.
- Ensures reliability and durability of data repositories.



www.vectorstock.com16163373



# **Three Primary Sources for Certification**

Core Trust Seal (CTS)

Combination of Data Seal of Approval (DSA) and World Data System (WDS) certifications.





https://www.coretrustseal.org/

**Nestor Seal** 

Network of expertise in long-term storage of digital resources in Germany. Nestor Seal certification is granted based on a structured external review and publicly available self audit.

https://www.langzeitarchivierung.de/Webs/nestor/EN/nestor/Ueber uns/ueber uns node.html



ISO 16363

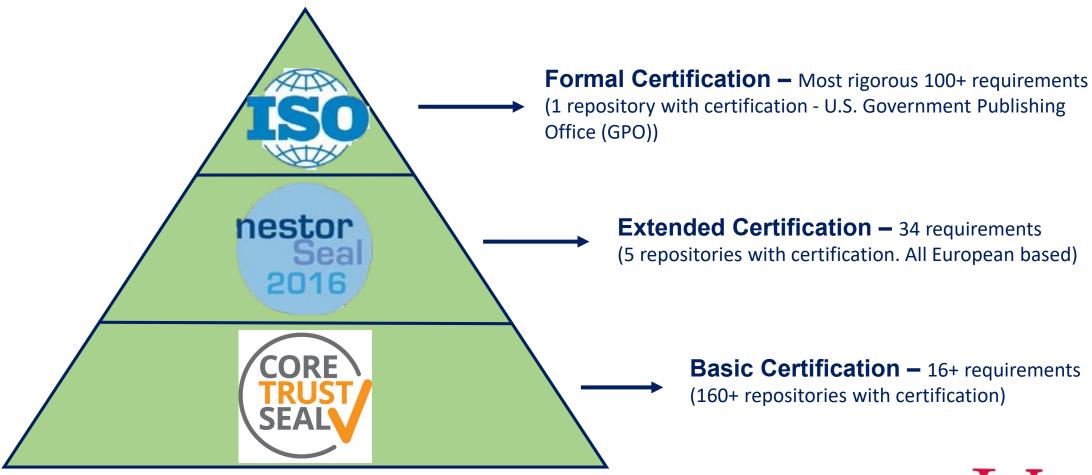
International Organization for Standardization. The world's largest developer of international standards used by Government, business and new information technology companies. Full external audit.

http://www.iso16363.org/





#### **Certifications of Trustworthiness**





# Repositories



# Repositories for Sharing Scientific Data

➤ NIH encourages researchers to select the repository that is most appropriate for their data type and discipline.

#### **Three main repository types:**

- Discipline/Subject-Specific
- Generalist
- Institutional



https://datascience.cancer.gov/news-events/blog/breaking-down-barriers-sharing-cancer-data-nih-generalist-repository



# I. Discipline-Specific Repositories



# Discipline-Specific Data Repository

- Discipline-Specific (or subject) repository a repository that contains data pertaining to a specific subject area.
- NIH Strongly recommends using an open, discipline-specific repository as a first choice whenever possible.
- Researchers should use the designated data repositories determined by NIH programs, NIH ICOs, or FOAs.
- For data generated from research for which no data repository is specified, researchers should select a data repository that is appropriate for the data generated from the research project.



#### NIH Supported Discipline-Specific Repositories

#### NIH Institute, Center, or Office Data Sharing Policies

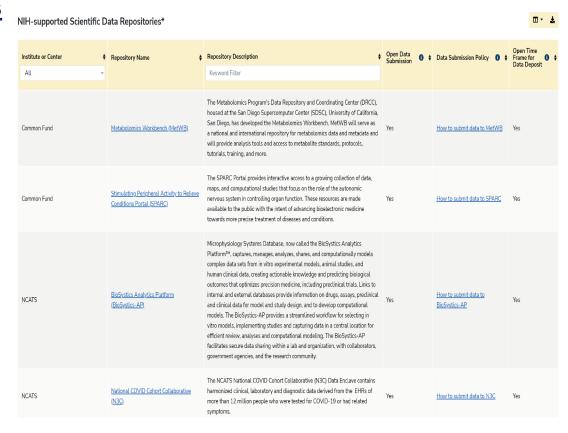
Institute or Center	Data Sharing Policy Name	Description of Data Sharing Policy \$	Repositories	<b>\$</b>
HEAL	HEAL Public Access and Data Sharing	Through the NIH HEAL Initiative Public Access and Data Sharing Policy (the Policy), NIH seeks to create an infrastructure that addresses the need for researchers, clinicians, and patients to collaborate on sharing their collective data and knowledge about opioid misuse and pain to provide scientific solutions to the opioid crisis. Under the Policy, applicants for extramural research funding (grants, cooperative agreements, contracts, and other transactions; "Applicants") for NIH HEAL Initiative Research Projects are required to submit a Public Access and Data Sharing Plan that (1) describes their proposed process for making resulting Publications and, to the extent possible, the Underyling Primary Data immediately and broadly available to the public or (2), if applicable, provides a justification to NIH if such sharing is not possible. Underlying Primary Data should be made as widely and freely available as possible while safeguarding the privacy of participants and protecting confidential and proprietary data.	Various <u>HEAL-Compliant</u> repositories	
NCI	Cancer Moonshot™ Public Access and Data Sharing Policy	The primary goal of NCI's Cancer Moonshot <sup>SM</sup> is to significantly accelerate cancer research discovery and meaningful implementation. The Cancer Moonshot Public Access and Data Sharing Policy addresses the recommendation of the Blue Ribbon Panel's Enhanced Data Sharing working group to the National Cancer Advisory Board that researchers, clinicians, and patients should collaborate in sharing their collective data and knowledge about cancer to accelerate progress towards improving cancer outcomes. Under this policy, applicants for Cancer Moonshot Research Projects are required to submit a "Public Access and Data Sharing Plan" that describes their proposed process for making, to the extent possible, resulting Publications and the Underlying Primary Data immediately and broadly available to the public. Investigators applying for Cancer Moonshot funds must provide a justification to NCI if such sharing is not possible.	Genomic Data Commons, dbGaP, TCIA	
NCI	NCI Clinical Trial Access Policy	NCI believes that the full value of NCI-supported Interventional Clinical Trials can be realized only if the results of clinical trials are published as rapidly as possible. The Clinical Trial Access Policy aims at ensuring public availability of results from NCI-supported clinical trials from all NCI-funded research grants, cooperative agreements, and/or contracts that support covered interventional clinical trials. Review the NCI Clinical Trial Access Policy for expectations of the policy.  Final Trial Results are expected to be reported in a publicly accessible manner within twelve (12) months of the Trial's Primary Completion Date regardless of whether the clinical trial was completed as planned or terminated earlier. Accordingly, data from incomplete trials are also expected to be reported within twelve (12) months of the date that the last subject had data collected or was examined even if the Trial does not achieve its primary aim. To comply with the Policy, Final Trial Results may be reported in a publicly accessibly manner in various ways, which include but are not limited to: publishing trial results in a peer-reviewed scientific journal, submitting study reports to publicly accessible registries dedicated to the dissemination of clinical trial information (such as ClinicalTrials.gov), or any other formalized reporting format that	Various	



#### NIH Supported Discipline-Specific Repositories

#### NIH-supported Scientific Data Repositories

- A list of NIH-supported repositories can be found on their data-sharing website.
   •101 repositories (open and restricted)
- Data sharing information provided:
  - NIH Institute or Center
  - Name of the repository and link to repository homepage
  - Description and general information about the repository
  - Data submission and permissions guidelines
  - Data submission policy information
  - Requirements for accepting data





# II. Generalist Repositories



# **Generalist Data Repositories**

- Generalist Data Repositories accept a wide range of data and are freely accessible to the public.
- Designed to be comprehensive and inclusive rather than specialized in a particular area or type of data.
- Generalist Repository Ecosystem Initiative (GREI) – goal is to enable better access to and discovery of NIH-funded data among generalist repositories.
- GREI is intended to supplement the domainspecific data repositories that are identified as critical components of the NIH biomedical data ecosystem for data sharing.

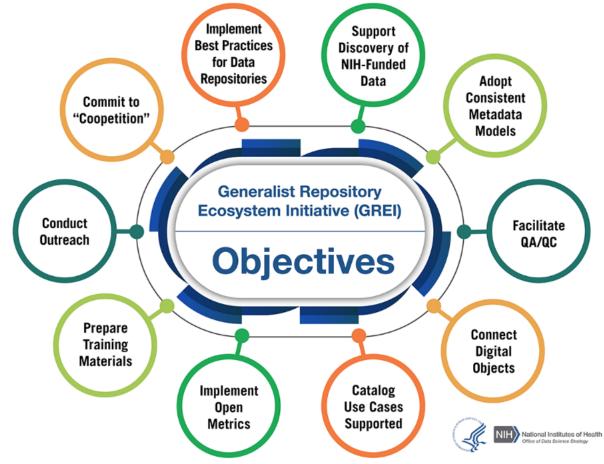


https://www.incf.org/blog/nih-launches-generalist-repository-ecosystem-initiative-increase-access-hiomedical-data



#### **GREI Mission**

- To establish a common set of cohesive and consistent capabilities, services, metrics, and social infrastructure across various generalist repositories.
- 2. To raise general awareness and help researchers to adopt FAIR principles to better share and reuse data.





# NIH Supported GREI Repositories

Dataverse Project (<a href="https://dataverse.org/">https://dataverse.org/</a>)

Dryad (<a href="https://datadryad.org/stash">https://datadryad.org/stash</a>)

Figshare (https://figshare.com/)

Mendeley Data (<a href="https://data.mendeley.com/">https://data.mendeley.com/</a>)

Open Science Framework (<a href="https://osf.io/">https://osf.io/</a>)

Vivli (<a href="https://vivli.org/">https://vivli.org/</a>)

Zenodo (<a href="https://zenodo.org/">https://zenodo.org/</a>)







DRŸAD









#### Where to find more information about GREI Repositories

### NIH Office of Data Science and Strategy – a list of past and upcoming webinars on GREI Repositories:

- Generalist Repository Ecosystem Initiative (GREI) Workshop (Tuesday, January 24, 2023)
- Best practices for sharing data in a generalist repository: Metadata, data preparation, and reporting (December 2022)
- How to include generalist repositories in your NIH data management and sharing plans (November 2022)
- Meet the GREI Generalist Repositories (October 2022)
- ODSS Announces New Repository Joining GREI (September 2022)
- NIH Office of Data Science Strategy Announces New Initiative to Improve Access to NIH-funded Data (January 2022)







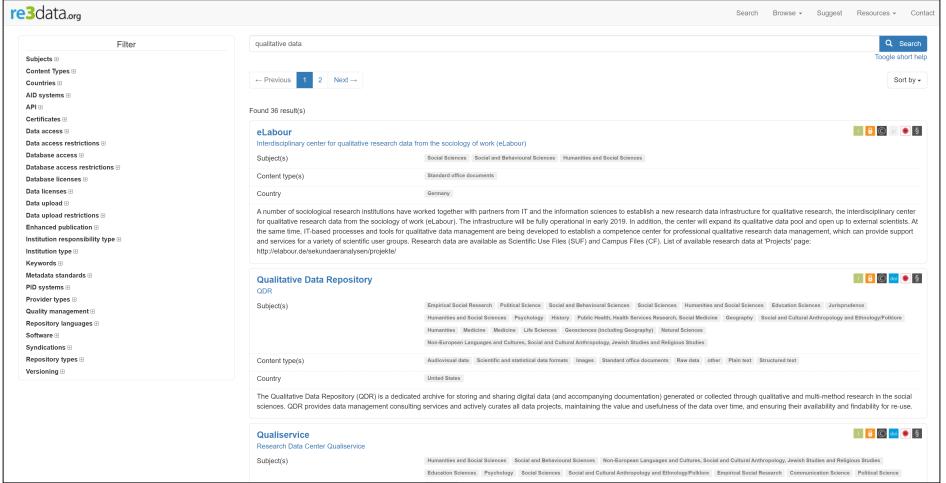
# Other Repository Selection Resources

- Registry of Research Data Repositories
   (www.re3data.org) a global registry of research data repositories in all scientific disciplines.
- Managed and maintained by the Humboldt University, Berlin, the GFZ German Research Centre for Geosciences, the Karlsruhe Institute of Technology (KIT), and Purdue University.
- Offers a searchable catalog of repositories
  - Search filters include:
    - Keyword or key-term
    - Subject
    - Content-Type
    - Country
    - Disciplines





# Registry of Research Data Repositories



# Other Data Sharing Resources

 Nature's Data Repository Guidance Website

(https://www.nature.com/sdata/policies/repositories#: ~:text=Data%20repositories%20should%20meet%2 Oall,submitted%20datasets%20(e.g.%20Datacite%2 ODOIs)





 FAIRsharing registry (<a href="https://fairsharing.org/">https://fairsharing.org/</a>)





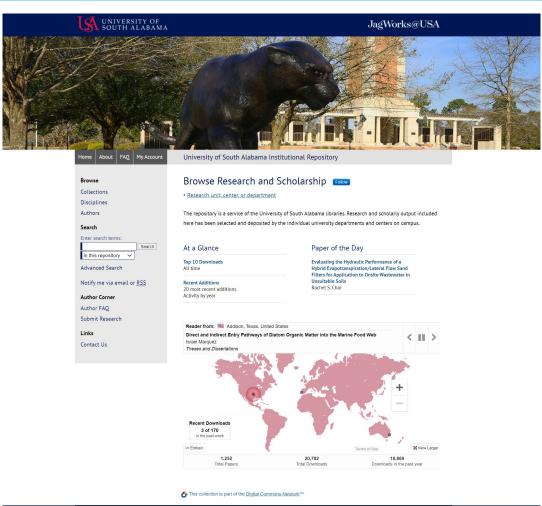
# III. Institutional Repository



# JagWorks – USA's Institutional Repository

JagWorks@USA Repository – open access, digital archive provided by the USA Libraries (<a href="https://jagworks.southalabama.edu">https://jagworks.southalabama.edu</a>)

- Submitted content is immediately searchable
  - Google and Google Scholar
- Available for use by anyone affiliated with USA or USA Health Services
  - Faculty
  - Researchers
  - Staff
  - Students (with approval)
- JagWorks meets NIH desirable characteristics of data repositories





# What can be submitted to JagWorks?

- ❖ Wide range of content and materials
- **Examples:** (not an exhaustive list)
  - √ Theses/Dissertations
  - √ Conference presentations/posters
  - ✓ Journal articles
  - ✓ Journals published at USA
  - ✓ Datasets
  - ✓ Images
  - ✓ Accreditation documentation
  - ✓ Open educational resources
  - ✓ Podcasts
  - ✓ Textbooks
  - ✓ Training materials/SOPs

- Accommodates most common file types
  - **Examples:** (not an exhaustive list)
    - .doc/.docx
    - .mp3/.mp4
    - .xls/.xlsx
    - .jpg/.jp2/.jpx
    - .pdf
    - .tiff
    - .gif
    - .png
    - .bmp
    - .eps
    - .rtf
    - .zip



# **JagWorks Tools and Services**

- Real-time usage metrics and readership impact with PlumX Analytics
- Unlimited storage and access with no size limits on content
- Peer review tools for most publication types
- Unique persistent identifiers (URLs)
- Access controls and embargos for sensitive or restricted content
- Customizable metadata fields
- Closed-captioning for video and audio files
- Assistance with content design, layout, and formatting
- In-house management of all content in JagWorks









# Where to find JagWorks@USA?

#### You can find JagWorks at:

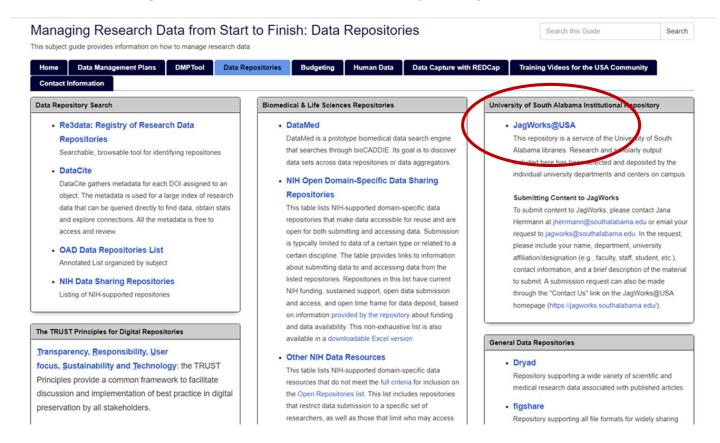
- www.jagworks.southalabama.edu
- Contact me, Jana Herrmann
  - Email <u>jherrmann@southalabama.edu</u>
  - JW email <u>jagworks@southalabama.edu</u>
- Click on the link on the USA Libraries home page.
- 'Contact Us' link on JagWorks homepage





# Where to find JagWorks@USA?

#### Research Data Management Biomedical Library Subject Guide - Data Repositories





# Other Data Sharing Options



# Other Data Sharing Resources

- Cloud-Based Storage
  - Large datasets (petabytes-scale)
- NIH STRIDES Initiative

(Science and Technology Research Infrastructure for Discovery, Experimentation, and Sustainability)

- Allows NIH to explore the use of cloud environments to streamline NIH data use by partnering with commercial providers.
  - Google Cloud
  - Amazon Web Services

Microsoft Azure



Google Cloud



#### PubMed Central

- Stores publication-related supplemental materials and datasets directly associated with publications.
- Datasets ≤2 GB



https://www.ncbi.nlm.nih.gov/pmc/



# **Genomic Data Sharing**



## Genomic Data Sharing (GDS) Policy Overview

# Develop and Submit DMS Plan

Single plan that address
 GDS and DMS policies

# •Provide Institutional Certification form

Only for Human Data

•Submit genomic data to appropriate repository

•Responsibly use controlled-access data

Cite controlledaccess data appropriately in publications and presentations



#### **Considerations for Submitting Genomic Data**

- Data submission expectations are dependent on the type of data (human/non-human) and level of processing.
- All studies generating human genomic data must register in the **Database of Genotypes and Phenotypes (dbGaP)** even if the data will be submitted elsewhere.
- Must ensure all data security measures for human participant data are in place if submitting data to an outside NIH repository.
- Must ensure that data confidentiality, privacy, and usage measures follow GDS policy if submitting data to outside NIH repository.
- Non-NIH-funded researchers and institutions submitting data to dbGaP should seek a Certificate
  of Confidentiality.
- When choosing a repository, be sure to check for FOA and IC-specific requirements.
- Non-human genomic data can be submitted to any widely used repository.



#### Where to Submit Human Genomic Data

#### Frequently Used Repositories for Human Genomic Data (18 repositories listed)

Repository	Repository Description	Submission Guides & Portals
<u>AnVIL</u>	The NHGRI Genomic Data Science Analysis, Visualization, and Informatics Lab-Space, or AnVIL, provides a cloud environment for the analysis of large genomic and related datasets.	AnVIL Data Portal
ArrayExpress	The ArrayExpress Archive of Functional Genomics Data stores data from high-throughput functional genomics experiments, and provides these data for reuse to the research community.	ArrayExpress submission
BioData Catalyst	NHLBI BioData Catalyst is a cloud-based platform providing tools, applications, and workflows in secure workspaces.	Accessing BioData Catalyst Data



#### Where to Submit Non-Human Genomic Data

#### Frequently Used Repositories for Non-Human Genomic Data (13 repositories listed)

Repository	Repository Description	Submission Portal
ArrayExpress	The ArrayExpress Archive of Functional Genomics Data stores data from high-throughput functional genomics experiments, and provides these data for reuse to the research community.	ArrayExpress submission portal
DNA Data Bank of Japan (DDBJ)	DDBJ provides freely available nucleotide sequence data and supercomputer system, to support research activities in life science.	DDBJ submission portal
European Nucleotide Archive (ENA)	ENA is an open, supported platform for the management, sharing, integration, archiving and dissemination of sequence data.	ENA submission portal
<u>FlyBase</u>	FlyBase is a database of <i>Drosophila</i> genes and genomes.	<u>FlyBase</u>



# Best Practices for Responsible Management and Sharing of Al/AN Participant Data



Supplemental Information NOT-OD-22-214 (https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-214.html)



# Resources



# For more information and questions?

#### NIH Data Management and Sharing Policy website:

https://sharing.nih.gov/data-management-and-sharing-policy

#### **NIH DMS FAQs:**

https://sharing.nih.gov/faqs#/data-management-and-sharing-policy.htm

#### **NIH Genomic Data Sharing Policy website:**

https://sharing.nih.gov/genomic-data-sharing-policy

#### Managing Research Data from Start to Finish subject guide:

https://libguides.southalabama.edu/research\_data\_mgt

If you have questions or would like a consultation regarding your DMS planning process, please contact the appropriate person:

#### **Data Management & Sharing Plan Development:**

Clista Clanton (cclanton@southalabama.edu)

#### DMPTool:

Dusty Layton (<u>dlayton@southalabama.edu</u>)

#### **JagWorks Institutional Repository:**

Jana Herrmann (jherrmann@southalabama.edu)

#### NIH Data Management & Sharing Policies:

Gina Hedberg (ghedberg@southalabama.edu)

