NIH Data Management and Sharing (DMS) Policy Readiness Webinar

January 17, 2023

“Countdown to effective date – January 25, 2023”
Reminder: Register for February COGR Meeting!

Upcoming Meeting and Webinar Information

Upcoming Virtual Meeting:
February 28-March 3, 2023

Register Here
Meeting Materials

Register in the COGR Member Portal
Speakers

Krystal Toups, Director, Contracts & Grants Administration

David Kennedy, Director, Costing & Financial Compliance, COGR

Michelle Bulls, NIH, Director, Office of Policy for Extramural Research Administration (OPERA)
Purpose of Webinar
Agenda

- DMS To-Date (COGR’s Advocacy and Resources)  
  Krystal Toups
- Costing Angle  
  David Kennedy
- NIH Implementation  
  Michelle Bulls
- Q&A
DMS To-Date

(COGR’s Advocacy and Resources)
October 2022 - Level of Readiness for January 25th?

• WHEN WE ASKED THIS AT THE OCTOBER COGR MEETING: What is your level of “readiness” for the NIH DMS implementation?
  
  • We’re just starting this work at my institution 16%
  • We’re underway and making progress 79%
  • We’ve got this. We’ll be ready 5%
  • I don't know, but I hope someone else is on this 0%

• Update – What is your level of “readiness” now?
What is your level of “readiness” for the NIH DMS implementation, Today?

A. We’re just starting this work at my institution.
B. We’re underway and making progress.
C. We’ve got this.
D. I don’t know, but I hope someone else is on this.
DMS To-Date (COGR’s Advocacy and Resources)

- Partnerships with Associations
  - FDP, ARL & Other Associations
  - COGR Membership, Workgroups, & Partners
- Engagement & Partnership with NIH
January 2023

#1 Issue Budgeting & Costing
- Single Budget Line Item
- Real Costs of Burden
- Limitations

Chapter 4 (Three Parts)
- Part I: Analysis
- Part II: Institutional Considerations
- Part III: DMS Survey Results
Costing Angle
The **COGR Review** was shared with NIH in late December ...  

... the tightrope to walk is a sense of urgency now and what can be addressed in the **FDP Pilot**

1. Leveraging “Just-in-Time”
2. Limitations of a Single Line Budget Request
3. Limitations of the Cost Estimator Tool
4. Clear Guidance Around Repositories
5. Perceptions Around Proposing DMS Costs
6. Alleviating the Modular Award (and Other Budget Cap) Squeeze
7. “Default” Budget Factors should be Considered
8. Distinguishing between Labor and Non-labor Costs is Imperative
9. Simplifying Effort Reporting Expectations
10. Personnel with “Significant” DMS Responsibilities
11. Allowability of Post-performance DMS Costs is Essential
12. NIH Confidence in Institutional Cost Models
13. “Low” and “High” Data Density Programs
14. Expectations for Monitoring and Oversight
15. Standards for Enforcement and Audit
Do you expect this activity will create new administrative burden at your institution (N=34)?

- Planning/Design/Start-up: YES = 33/34 = 97%
- Data Collection/Secure Storage: YES = 32/34 = 94%
- Data Integrity/Retention/Sharing: YES = 33/34 = 97%
- Monitoring/Oversight/Audit: YES = 34/34 = 100%
- Closeout/Cost Recovery: YES = 32/34 = 94%
With new administrative burden comes cost burden:

• Survey results (N = 34) showed significant impact on:
  - Pre-Award
  - IT
  - Campus Libraries
  - Department Administration
  - Researchers/PIs/Grad Students

• Cost burden to exceed $1 million per institution?

• Smaller and emerging research institutions most at risk?
COGR found that while the full cost impact may not be fully recognized for several years, initial analysis indicates cost burden will exceed $500,000 at the central administrative level, while also exceeding the $500,000 at the academic level. The impact to Researchers and PIs is the most significant driver at the academic level. This risks a further shift of PI effort away from science and toward administrative tasks. While COGR supports the important activity of data sharing and public access to research data, the cost burden is significant, and will most adversely impact smaller and emerging research institutions.
NIH’s Implementation
NIH Implementation of the New Data Management and Sharing Policy

NIH OFFICE OF POLICY FOR EXTRAMURAL RESEARCH ADMINISTRATION (OPERA)

JANUARY 17, 2023
New Data Management and Sharing (DMS) Policy (NOT-OD-21-013)

- Effective for applications submitted for due dates on or after January 25, 2023 (8 days to go!)
- **Requirements:**
  1. Submission of Data Management & Sharing Plan
  2. Compliance with ICO-approved Plan
- **Scope:** All NIH-supported research generating scientific data
- **Recommended Elements of a DMS Plan:**
  - Data type
  - Related tools, software, code
  - Standards
  - Data preservation, access, timelines
  - Access, distribution, reuse considerations
  - Oversight of data management and sharing
- **Timelines:**
  - When to share data: No later than the time of an associated publication or end of award (for unpublished data), whichever comes first
Pre-Award

Plan submitted at the time of application

- Not included in peer review, unless data sharing is integral to the project design and specified in the Funding Opportunity Announcement.

Plan assessed by Program Officials (PO)

- POs work with PIs to resolve issues and finalize plan based on PO assessments
- POs and PIs agree on plan, and it’s resubmitted at just-in-time through the AOR

Plan accepted and becomes a term and condition
Post-Award

Approved Plan becomes a Term and Condition of Award

Recipient reports progress of approved DMS Plan in RPPR*

NIH reviews compliance annually**

**Prior Approval and revised plan required:
- new scientific direction
- change in data repository
- timeline revision

*RPPR: Research Performance Progress Report (RPPR) - Annual, Interim, and Final
NIH Efforts to Reduce Administrative Burden: The DMS Demonstration Pilot Project – Collab with Federal Demonstration Partnership (FDP)

- FDP and NIH collaboration engaging NIH Institutes and Centers (ICs), Office of Extramural Research SMEs and OPERA/Compliance.

- Goals of the DMS Demonstration Pilot:
  - Generate greater consistency in DMS Plan requirements across NIH ICs and programs.
  - Mitigate the administrative burden for researchers associated with DMS Plan development and implementation.
FDP Pilot Phase 1: DMS Plan Templates

- **Federal Demonstration Partnership (FDP)** pilot project to test structured templates and tools for DMS Plan submission
- 2 Templates have been selected for testing
  - Discussions underway with DMPTool
- Purpose is to generate greater consistency in DMS Plan requirements across ICOs and programs, while mitigating administrative burden for researchers
- FDP has reached out to institutions to gather participants (over 60 interested so far)
FDP Pilot Phase 2: Costing Policies

• Identify ways to
  • Establish common cost principles
  • Identify types of costs required (e.g. key personnel, impact on budget caps)
  • Determine how to identify additional/unforeseen costs that may be needed to meet the spirit of the DMS Policy
  • Determine feasibility of placing costs in a single category vs. throughout the budget line items
• ...and MORE!
For More Information...

Website: NIH Scientific Data Sharing
FAQs: DMS Policy FAQs
General DMS Questions: Sharing@nih.gov
Budget/Costing Questions: grantspolicy@nih.gov
Resources

• NIH Data Management and Sharing Policy Page
• COGR’s Resource Page
• COGR NIH DMS Readiness Guide
• COGR's Webinars & Additional Resources on DMS