Researcher and Institutional Impact of Data Management and Sharing Policies

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Realities of Academic Data Sharing research has been generously funded by NSF EAGER grant #2135874: Completing the Lifecycle: Developing Evidence Based Models of Research Data Sharing.
NIH DS Policy
- Awards ≥ $500k/year
- Final research data
- Flexible
- Direct costs

OSTP Holdren Memo
- Agencies with R&D budgets ≥ $100 million
- 12 month embargo
- Appropriate costs

OSTP Nelson Memo
- All agencies with extra R&D budgets
- No embargo
- Specified publication & DMS costs

New NIH DMS Policy
- All awards with data
- All research data
- Storage and DMP reqs
- Line item costs

RADS Study
Research Questions

1. How do institutions support research data management?

2. How do researchers prepare and share research data?

3. What is the institutional cost to implement mandated public access to research data policies?
Considerations

Creating a framework for institutional comparisons
Despite being red, Mars is a cold place.

Service Categories

Libraries
- Campus Libraries
- Archives

IT
- Core IT
- Dept. IT

Research
- OVPR
- OR
- IP

Centers
- Institutes
- Centers
Considerations

- Creating a framework for institutional comparisons
- Creating a common set of data sharing activities
Considerations

- Creating a framework for institutional comparisons
- Creating a common set of data sharing activities
- Creating a model for estimating data sharing costs
Survey Representation
Administrators

- Data sharing leadership
- Mixed methods approach
  - Online survey
  - Structured interviews
- 50% response rate (69/138)
Researchers

- Funded research (2013-22)
  - NIH, NSF, DOE
- Subject Areas
  - Biomedical sciences
  - Environmental science
  - Materials science
  - Physics
  - Psychology
- Mixed methods approach
- 8.4% response rate (255/3467)
Results
27 Data Management and Sharing Activities Through Five Phases of Research

1. Planning, Design, and Start Up of Projects
2. Data Collection, Storage, and Management
3. Making Data Broadly Available
4. Data Retention, Including Preservation, Archive, and Long-Term Access
5. Project Closeout and Compliance
Researchers Reported Activities They Did:
- In the Research Lab/Research Team
- With Institutional Assistance
- With External Assistance
- Not Do

Administrators Reported Support for Activities Within:
- Office of Research
- Research Institutes/Centers
- Libraries
- IT Offices
### Researcher/Research Team – Top 5 Activities done by (% of respondents)

<table>
<thead>
<tr>
<th>Activity</th>
<th>% of Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Making decisions about what data to share or host</td>
<td>91.8%</td>
</tr>
<tr>
<td>Preparing data for sharing</td>
<td>91.4%</td>
</tr>
<tr>
<td>Creating quality control mechanisms or procedures</td>
<td>90.4%</td>
</tr>
<tr>
<td>Developing documentation of data</td>
<td>90.3%</td>
</tr>
<tr>
<td>Monitoring integrity of preserved data</td>
<td>90.0%</td>
</tr>
</tbody>
</table>
### Institutional Assistance

Top 5 Activities done with (% of respondents)

<table>
<thead>
<tr>
<th>Activity</th>
<th>% of Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developing Materials Transfer and/or Data Use Agreements</td>
<td>64.4%</td>
</tr>
<tr>
<td>Ensuring data security when appropriate (e.g., PHI/HIPAA)</td>
<td>39.5%</td>
</tr>
<tr>
<td>Determining intellectual property and copyright considerations</td>
<td>29.9%</td>
</tr>
<tr>
<td>Evaluating data security needs</td>
<td>25.7%</td>
</tr>
<tr>
<td>Preparing IRB protocols and informed consent for data sharing</td>
<td>25.4%</td>
</tr>
</tbody>
</table>
Research Libraries provide support for public access to research data in the following phases:

- Planning, Design, and Start Up of Projects
- Making Data Broadly Available
- Data Retention, Including Preservation, Archive, and Long-Term Access

Developing support for Data Collection, Storage, and Management

Less support provided in Project Closeout and Compliance
IT Offices provide support for public access to research data across all phases

- Planning, Design, and Start Up of Projects
- Data Collection, Storage, and Management
- Making Data Broadly Available
- Data Retention, Including Preservation, Archive, and Long-Term Access

Less support provided in

- Project Closeout and Compliance

Information Technology Offices - Services & Infrastructure for Public Access to Research Data (LINK)
Takeaways
Researchers are still adjusting to requirements

- Overall, researchers are doing the majority of data sharing activities on their own.
- Researchers have always had to manage their data, the shift comes from having to prepare it for others to find, access, interoperate and reuse.
- Researchers do need help in understanding what is required and connecting to services.
Administration / Service Units are also still adjusting

- Many of the services / support provided by the institution are compliance based, focused on minimizing risk, and center the needs of the institution.

- Library services are generally focused on the needs of the researcher, but researchers still perform many of the activities offered by libraries solely by themselves.
  - They may not know about our services
  - They may not believe that we have the necessary depth of expertise
  - We may not have the capacity
  - We may have empowered researchers to be self-sufficient.
Opportunities for Underutilized / Underdeveloped Services

● For IT Departments
  ○ Data security services
  ○ Creating quality control mechanisms or procedures for infrastructure

● For Central Research Offices
  ○ Ensuring funding agency requirements for data sharing have been met
Opportunities for Underutilized / Underdeveloped Services

● For Research Institutes & Specialized Centers
  ○ May not be available to provide outside services
  ○ May serve as models for providing support services

● For Libraries
  ○ Assistance with making decisions on which data to share
  ○ Selecting or applying licenses for reuse
  ○ Adopting PIDs
Opportunities for Cross Campus Collaboration

- Developing recommendations, policies and practices for deaccessioning / removing research data at the institution
- Identifying and budgeting for the costs of data management and sharing
- Training / Education
Models of Institutional Cooperation on Data

- Examples of Cooperative Institutional Initiatives
  - Michigan’s Research Data Stewardship Initiative
  - Duke’s Research Data Initiative and Research Data Policy

- Examples of Cooperative Institutional Service Models
  - Cornell’s Research Data Management Support Group
  - Minnesota’s Institutional Cyberinfrastructure Group
Case Study: University at Buffalo

● Institution Wide Working Group on Data Sharing
  ■ Storage and Support Infrastructure
  ■ Graduate Students
  ■ Data Repository & Services
    ○ Culminated in a proposal / request to the Provost
● Sponsored Program Services (SPS) Reorganization
  ○ Less centralization
  ○ Closer to academic departments
  ○ Training
● UB will be a part of RADS 2 funded by the IMLS
RADS Research Team

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RADS info & reports: https://www.arl.org/realities-of-academic-data-sharing-rads-initiative/