Welcome!
Today’s session will begin shortly. There will be no audio sound until the session begins.
Zoom Meeting Reminders

• Zoom technical support at 1-888-799-9666, option 2

• Audio can be connected through your computer or through a call-in number

• Submit questions at any time in the chat box at the bottom of your screen.

• Please turn on your camera and unmute yourself if you are called upon to ask your question. Please mute and turn off your camera when you are done speaking.

• Zoom recording, slides, and session summaries posted shortly after the event at thefdp.org
Finance Audit & Costing

Michelle Bulls, NIH Office of Policy for Extramural Research Administration

Christi Keene, UChicago

FDP Meeting – May 2022
Agenda

• Welcome
• Data Sharing and Management Working Group
• Open items update
• Federal updates
Context

Acronyms:

• FCTR: Federal Cash Transaction Report
• IDC: Indirect cost
• F&A: Facilities and Administration
• PHI: Protected Health Information
• FISMA: Federal Information Security Management Act
• FAIR: Findability, Accessibility, Interoperability, and Reusability
Federal Updates:
Michelle Bulls
Data Sharing and Management Working Group

Leadership:
Zach Chandler – Stanford University
Judith Ryan – Harvard University
Jenny Ariansen – Duke University
Christi Keene – University of Chicago
Melissa Korf – Harvard Medical School
Jim Luther – FDP
Chernoh Barrie – NIH
<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
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<tbody>
<tr>
<td>Zach Chandler</td>
<td>Stanford University</td>
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<td>Jenny Ariansen</td>
<td>Duke University</td>
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<td>Edwin Bemmel</td>
<td>University of Miami</td>
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<tr>
<td>Gina Cregg</td>
<td>University of Kansas</td>
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<tr>
<td>Jason St. Germain</td>
<td>New York University</td>
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<tr>
<td>Alexa Van Dalsem</td>
<td>Colorado</td>
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<tr>
<td>Brian Westra</td>
<td>University of Iowa</td>
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<tr>
<td>Nina Exner</td>
<td>Virginia Commonwealth University</td>
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<tr>
<td>*Robert Butera</td>
<td>Georgia Institute of Technology</td>
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<tr>
<td>Erin Schlicher</td>
<td>Michigan State University</td>
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<tr>
<td>Megan Reed</td>
<td>Beckman Research Institute City of Hope</td>
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<tr>
<td>*Mark Goldberg</td>
<td>University of Texas Health Science Center, San Antonio</td>
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<tr>
<td>Stephanie Scott</td>
<td>Columbia University</td>
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<tr>
<td>Chernoh Barrie</td>
<td>National Institutes of Health</td>
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*faculty
Data Sharing & Management Working Group Goals

- Assemble a group with both costing and data management expertise – in process
- Document foundational knowledge for costing – in process
  - Definitions, implications, and examples of direct cost, cost distribution, allocation, service centers, specialized service facilities, indirect costs
- Document foundational knowledge for data sharing & management – in process
  - Definitions, implications, and examples of data sets, storage types, access, security, curation, plan monitoring, etc.
Data Sharing & Management Working Group Goals

- Model various costing solutions into Lifecycle worksheet
- Review practicality and impacts of models
- Consider and define what a productive outcome of the working group might be:
  - a recommended costing model?
  - a request to the government?
    - For F & A relief from 26% cap or 70% overall limit for educational institutions?
    - For a new IDC component (F, A, & IT)?
    - For clarity about allowability of storage costs after close out?
    - For guidance on open access constraints?
- Provide institutions with resources – budget calculators
- Initial Deliverables by July 1, 2022
<table>
<thead>
<tr>
<th>#</th>
<th>Activity</th>
<th>Timing (Pre-Proposal submission, Life of award, Post-Closing)</th>
<th>Sponsor Pay</th>
<th>Budget Line Item for Data Only that is Paid/Accrued at end of Award for Future Data Costs (would require OMB UG approval)</th>
<th>Institution Pay (Admin Capped)</th>
<th>Institution Pay (Uncapped: O&amp;M or Library)</th>
<th>Institutionally Supported Repository</th>
<th>External Repository</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>DMP Development</td>
<td>PRE - PROPOSAL</td>
<td>No</td>
<td>Direct Charge to Sponsor as direct line item or via Service Center</td>
<td>Institution Pay (Uncapped: O&amp;M or Library)</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
<td></td>
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<tr>
<td>2</td>
<td>Data Curation &amp; Metadata Curation FAIR, Data dictionary, etc.</td>
<td>LIFE (SOME PRE)</td>
<td>Some sponsors allow</td>
<td>Separate Supplement / Companion Award (with different period of performance) for Data Storage after period of performance</td>
<td>Institution Pay (Uncapped: O&amp;M or Library)</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>3</td>
<td>Data Ingest</td>
<td>LIFE</td>
<td>No</td>
<td>Service Center (likely subsidized by institution but charged to project)</td>
<td>Institution Pay (Uncapped: O&amp;M or Library)</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<td>4</td>
<td>DMP Monitoring &amp; Compliance through life of award through closeout</td>
<td>LIFE</td>
<td>No</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>5</td>
<td>Data Storage (during life of project)</td>
<td>LIFE</td>
<td>Yes</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>6</td>
<td>Data Processing</td>
<td>LIFE</td>
<td>Yes</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>7</td>
<td>Data Storage (post-closeout for publication)</td>
<td>POST/LIFE</td>
<td>Probably yes</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>8</td>
<td>DMP Monitoring &amp; Compliance - post closeout</td>
<td>POST</td>
<td>No</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>9</td>
<td>Data Storage (post-closeout for DMP Compliance)</td>
<td>POST</td>
<td>Yes</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>10</td>
<td>Cold Data Storage (post-closeout / last resort)</td>
<td>POST</td>
<td>Yes</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>11</td>
<td>Publication Fees (often based on size and duration of data)</td>
<td>POST</td>
<td>Probably yes</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
<td>Institution Covers Cost but then Charges Users</td>
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<tr>
<td>12</td>
<td>Data Security (PHI, HIPAA, Export Controls, FISMA, student data and IP)</td>
<td>PRE, LIFE &amp; POST</td>
<td>Varies</td>
<td>Institution Pay</td>
<td>Institutionally Supported Repository</td>
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Working Group Leadership
Contact Info

• Zach Chandler, Stanford University, ze Chandl@stanford.edu
• Judith Ryan, Harvard University, judith_ryan@harvard.edu
• Jenny Ariansen, Duke University, ja267@duke.edu
• Christi Keene, University of Chicago, ckeene@uchicago.edu
• Melissa Korf, Harvard Medical School, Melissa_Korf@hms.harvard.edu
• Jim Luther, FDP, jluther@thefdp.org
Data Sharing & Management:
Collaborative activities
Objectives

1. Examine funded researcher activities to make research data publicly accessible.
2. Five disciplines: environmental science, materials science, psychology, biomedical sciences, & physics.
3. Costing questions included from the institutional infrastructure survey.
Council On Governmental Relations

NIH Policy for Data Management and Sharing

**Charge:** Develop expertise, share with other associations, and conduct other mission-appropriate activities so that COGR can engage NIH DMS Policy

**Deliverables:**
1. **Advocacy** to engage NIH DMS Policy
2. **Education and resources** to COGR members – Identify compliance requirements and key challenges to be shared with COGR members in various contexts (FAQs, Effective Practices, Federal/NIH guidance, Education for Readiness, etc.)
3. **Cost of Compliance** survey and report
NIH Policy for Data Management and Sharing

- Current Workgroup Priorities
  1. NIH Data Sharing and Management – Briefing Sheet
  2. Readiness Guide
     - Starting the Conversation/Briefing Document (Joint Release with ARL)
     - Policy Matrix
     - Roles & Responsibilities at your Institution
     - Culture Change
     - Costing Issues
  3. Detailed Analysis of NIH Notices, Advocacy, Institutional Support, & Costing Implications
Resources/Helpful Links

• Association of Research Libraries: https://www.arl.org/
• NIH Scientific Data Sharing Website: https://sharing.nih.gov/
• NIH-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
Questions/Suggestions
Updates on other initiatives:

- Continue work on Treasury Offset Program
- LOC survey results
- Prioritize Data Sharing & Management