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AAU/APLU Public Access Working Group: Perspectives from Institution

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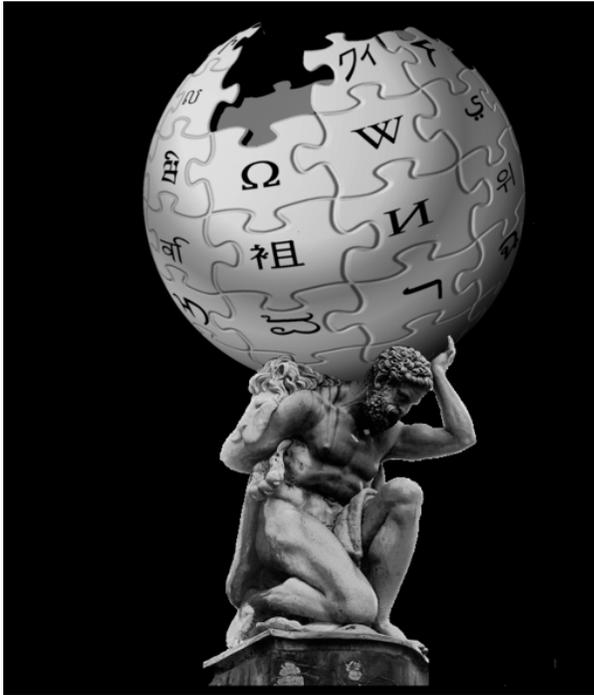
- Jeff Chasen, U of Kansas
- James Luther, Duke

White Paper - Audiences

- Recommendations for universities and for agencies because a shared responsibility between institutions, faculty, and agencies
 - Universities need to create the infrastructure
 - Faculty will need to adopt a culture of data sharing
 - Agencies will need to fund the costs associated with making data available and provide consistent and clear guidelines
- Concern is for many ad hoc and homegrown solutions that reduce interoperability and discoverability, that increase cost, and that cede coordination to the publishers

Goals

- Provide data access in most useful ways to society;
- Minimize burden on agencies, universities, and researchers;
- Allow exceptions for privacy, security, and IP concerns;
- Prioritize data quality and evaluation as a foundation in preparing, documenting, and releasing data;
- Balance costs of data access against the benefits of access;
- Recognize data types and accessibility needs vary across disciplines, requiring a flexible approach; and
- Consider the community of interest and duration of usefulness for the data in question and making retention and access requirements clear.



Recommendations to Federal Agencies

- **Harmonize policies, documentation, (e.g., data management plan, data use agreement terms, and data sharing certifications), and compliance approach to data access to minimize costs** for both agencies and funding recipients.

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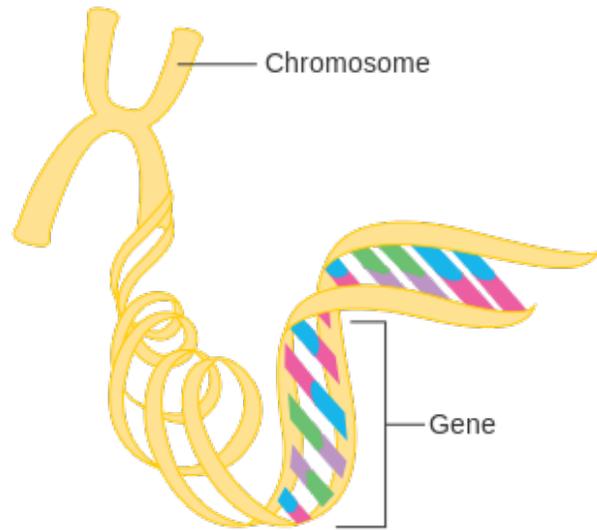
Recommendations to Federal Agencies, cont. 2/8

- Support universities' retention of data
- Third-party vendors should not be granted an exclusive license to data.
- Research data are an essential scholarly product of the academy and should not be allowed to drift under the control of commercial data management providers that may have different goals and profit incentives.



Recommendations to Federal Agencies, cont. 3/8

- Provide **clear guidance on compliance** – how data sharing requirements will be monitored, evaluated, enforced, and when it expires.
- Recommend that agencies coordinate policies to **review changes in DMP** over the course of a project.
- Once a project is completed, agency research staff oversee compliance with DMP (best position with faculty to determine value of data set).



Recommendations to Federal Agencies, cont. 4/8

- Clear guidance across agencies on what data do and do not need to be shared
- Take a phased approach
- Minimum standard as data essential to understand and reproduce peer-reviewed publications and conference proceedings, i.e., reasonably expected by the discipline to be open for re-analysis.
- Addt'l requirements for specific program goals:
 - data outputs are a main goal of the funding,
 - discipline calls for other kinds of data outputs, or
 - where a negative result may be useful



Recommendations to Federal Agencies, cont. 5/8

- The length of availability of data and embargo should be specified in award documents and should depend on disciplinary standards and costs/benefits data access.
- Data access after the funding period has ended should be specific and finite in duration and must be accompanied by additional funding if they require more than a nominal cost (either direct or indirect charges).



Recommendations to Federal Agencies, cont. 6/8

- Recognize that data must be evaluated for quality and well-documented to ensure adds value to the scientific discussion.
- Be consistent with rules protecting human subjects (e.g., IRB and HIPAA), IP, national security, and controlled unclassified information (CUI).

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TO THE FUTURE**



Recommendations to Federal Agencies, cont. 7/8

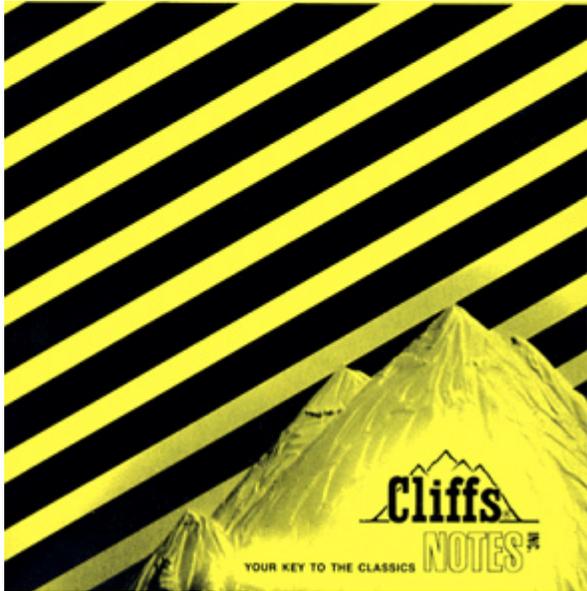
- Federal agencies should look to universities and research community to set standards and guidance on retention, security, and data use terms, and then use these standards as a basis to harmonize their own policies.
- Data access rules from agencies should emphasize adherence to the broadly accepted **FAIR** principles (data should be findable, accessible, interoperable, and reusable).



Recommendations to Federal Agencies, cont. 8/8

- Agencies should clarify that costs to support data accessibility are allowable as a **direct or indirect** charges in research program budgets.





Summary

- Recommend harmonization across federal agencies to reduce burden.
- Be consistent with rules protecting human subjects, IP, national security, and controlled unclassified information (CUI).
- Recommend clarity on what data; how data sharing requirements will be monitored, evaluated, enforced; and when it expires.

Guidance to Universities

- Make data accessible **as appropriate**
- Ensure access to data sets associated with a **peer-reviewed** scholarly publication and/or which are otherwise delineated in the **DMP**.
- Develop supporting guidance, services, and **workflow systems** to support researchers in consistent and rigorous data sharing practices.



COS – Open Science Framework

Guidance to Universities, cont. 2/4

- Develop **descriptive metadata** that enables identification of a data set, context of its creation, record and manage its IP, and carry out data stewardship.
- Develop and require the use of **core identifiers** for data sets (researcher ID, DOI, funding organization ID, and institutional ID).
- Establish process by which researchers **hand off the stewardship** of the data to the institution or researcher's new home institution.



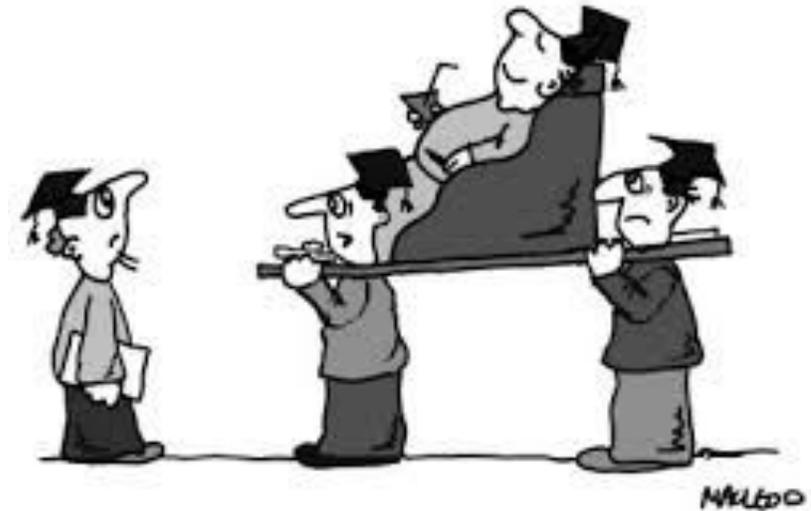
Guidance to Universities, cont. 3/4

- Implement policies to support public access to data consistent with **IRB, Cols, CUI**.
- Establish **granular access controls** for research data sets.
- Recommend appropriate **trusted digital repositories** to their researchers and where no proper repository exists, the institution will need to develop its own data repository service.



Guidance to Universities, cont. 4/4

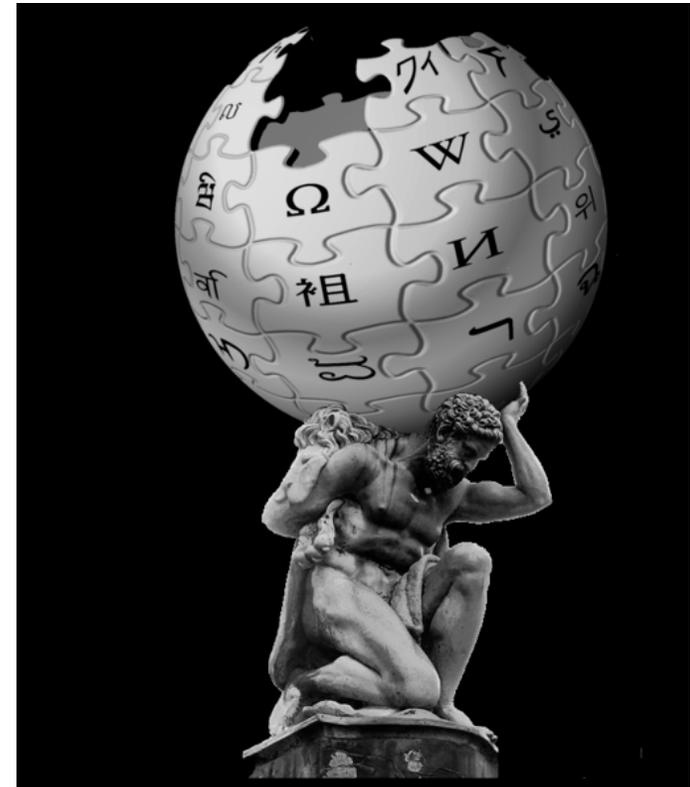
- Consider **promotion and tenure** review processes that reward researchers who publish their data sets.



"He's been pretty much insisting on this ever since he got tenure."

Guidance to Universities in & the collective

- Collectively work with federal agencies to promote **interagency harmonization of data sharing** guidelines and compliance requirements that **minimize the burden** on researchers and institutions.



Guidance to Universities in & the collective, cont. 2/3

- Create common guidance on **IP matters, data ownership, and licensing.**
- For data sets subject to public access policies, the default status is that data is to be shared publicly in accordance with the specified agency policy.



Guidance to Universities in the collective, cont. 3/3

- Develop and implement a standardized set of **identifiers**.
- Working with disciplinary societies, develop **standards** for data sharing.
- Define **citation and impact evaluation methods** to recognize the work of researchers who publicly share their data and the subsequent impact of sharing these data.



Summary

- Concern is for many ad hoc and homegrown solutions that reduce interoperability and discoverability, that increase cost, and that cede coordination to the publishers.
- Joint effort of universities, researchers, and agencies. How can we work together to ensure access to data that follows the FAIR principles?
- Recommend harmonization across federal agencies to reduce burden.
- Recommend clarity on what data; how data sharing requirements will be monitored, evaluated, enforced; and when it expires.

Issues still to explore

- P&T
- Training of research community (faculty, staff, and students)
- Workflow systems
- Data standards

October 29-30 Workshop

- 30 institutional teams for 1.5 day, NSF-funded workshop to develop institutional roadmaps for public access of data.
- What would you hope that these teams would discuss?

Questions and Contact Information &

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