Attachment A.2.2: Data Sharing Agreement (DSA) (Data Collection by the NIH)

Data Sharing Agreement between *[Insert Name of Awardee Institution]* and National Institutes of Health

This Data Sharing Agreement ("DSA") is entered into by and between the *[Insert Name of Awardee Institution Office]*, hereafter referred to as "the Awardee," and the National Institutes of Health, hereafter referred to as "NIH," for the national cross-site evaluation of the NIH-funded awards called Broadening Experiences in Scientific Training, or BEST Awards. The NIH and the Awardee are also hereinafter referred to as, each, a "Party" and, together, the "Parties."

BACKGROUND

The purpose of the NIH national cross-site evaluation is to identify best practices in biomedical training programs for future development and dissemination. This will be accomplished by assessing two desired outcomes for trainees (graduate students and postdoctoral scientists) and one desired outcome for the awardee institution. The outcomes are: (1) changes in understanding of career opportunities, confidence to make career decisions, and attitudes towards career opportunities; (2) reduced time to desired, non-training, non-terminal career opportunities, and reduced time in postdoctoral positions; and (3) creation/further development of institutional infrastructure to continue BEST-like activities beyond the funding period.

Data will be gathered from all graduate students and postdoctoral scientists in the entire pool from which the Awardee is recruiting BEST participants. The pool consists of both participants and nonparticipants in the BEST program, as defined by the institution. The NIH has developed surveys with input from BEST Awardees. The surveys for graduate students include: Entrance, Interim, Exit, and Post-exit. The surveys for postdoctoral scientists include: Entrance, Exit, and Post-exit.

- The NIH Center for Information Technology (CIT) will administer the surveys to an estimated *[insert number of graduate students]* graduate students and an estimated *[insert number of postdoctoral scientists]* postdoctoral scientists. These are the estimates for the first year of the administration of the Entrance survey. The numbers may change in subsequent years.
- The NIH CIT will administer:
  - Entrance, Interim, and Exit surveys to graduate students while they are enrolled at the awardee institution and the Entrance survey to the postdoctoral scientists while they are employed by the awardee institution during the grant period;
  - Exit surveys for up to four years after the grant ends to graduate students who receive Entrance surveys during the grant period, but graduate after the grant ends;
  - Exit surveys to postdoctoral scientists;
  - Post-exit surveys at 2, 6, 10, and 15 years after graduate students and postdoctoral scientists complete the Exit survey.

An OMB clearance number will be provided for the collection of the data for the national cross-site evaluation. The OMB clearance number and expiration date must be included in all surveys.

AUTHORITY

This DSA is made under the NIH's authority to conduct and fund research and to provide training assistance; to collect information as to the practical application of such research and activities; to assemble accurate data to evaluate research priorities and scientific opportunities; and the general

authority to maintain records in connection with these and its other agency functions (42 U.S.C. §§ 241 and 282, and 44 U.S.C. § 3101.)

PERIOD OF AGREEMENT

This DSA is effective for a period of twenty-three years, from [*Insert month, day, year*] through August 31, 2038, subject to the availability of appropriated funds, resources, and legal authority.

PURPOSE OF AGREEMENT

The purpose of this agreement is to enable data sharing between the Parties to facilitate the national cross-site evaluation of the BEST program. This DSA permits the Awardee to provide NIH the email addresses of trainees and data on trainees' participation in BEST program activities. This DSA also permits the NIH to provide the Awardee with access to trainees' survey data collected while the trainees are at the institutions and after they exit. This DSA is solely for the purposes described herein and is not for the purpose of transferring funds between the Parties.

COVERED DATA AND INFORMATION (CDI) TO BE SHARED

The CDI elements are described below and the schedule for data sharing and collection is included in Appendix A.

(1) Awardee will assign a unique, seven character numeric ID, hereafter called the evaluation ID, to each trainee (participants and non-participants). Awardee will provide to the NIH the email addresses of all graduate students and postdoctoral scientists in the pool from which the Awardee is recruiting BEST participants. Awardee will also provide to the NIH a list of students who will graduate from the institution each academic semester or quarter.

(2) Survey data collected by NIH Center for Information Technology (CIT) will be shared with the Awardee. The data sharing will occur during and after the grant period.
- Graduate student Entrance survey – to be administered in the first year of the national evaluation and each year thereafter only to new graduate students (see Attachment 1 for data elements);
- Graduate student Interim survey – to be administered in years 2017 and 2019 to graduate students who previously received an Entrance survey, regardless of whether they completed the Entrance survey (see Attachment 2 for data elements);
- Graduate student Exit survey – to be administered to graduate students who previously received an Entrance survey, regardless of whether they completed the Entrance survey. The Exit survey will be administered each year to coincide with the administration of an institutional exit survey at the time of thesis/dissertation submission or before graduation. For institutions that do not administer an institutional exit survey, to be administered at the end of each semester or quarter after a graduate student has defended their thesis/dissertation or before graduation (see Attachment 3 for data elements). The NIH CIT will administer Exit surveys annually for up to four years after the grant ends to graduate students who provide their email address(es) in the Entrance surveys during the grant, but graduate after the grant ends.
- Postdoctoral scientist Entrance survey - to be administered in the first year of the national evaluation and each year thereafter only to new postdoctoral scientists (see Attachment 4 for data elements);
- Postdoctoral scientist Exit survey - this data collection will occur during the grant period and for up to four years after the grant ends. The NIH CIT will administer Exit surveys annually to postdoctoral scientists who provide their email address(es) in the Entrance surveys. This survey administration is based on the respondent's postdoctoral appointment status (see Attachment 5 for data elements).

- Post-exit survey - the NIH CIT will administer Post-exit surveys to graduate students and postdoctoral scientists at 2, 6, 10, and 15 years after administration of the Exit survey (see Attachment 6 and 7 for data elements).

(3) Data form. Information collected on the Data Form by the awardee will be shared with the NIH (see Attachment 8 for data elements). This data collection activity will occur during the grant period. The data form consists of four sections: (1) Program Description and Participation in BEST Program Activities (reported annually), (2) Aggregate Data from Participating Departments and/or Graduate Programs (reported annually), (3) Baseline Information for the Five Years Prior to Receiving the BEST Award (reported once), and (4) Information to Report in Year Four of the Award. Awardees will report individual level data in section one, and aggregate level data in sections two, three, and four.

Invitation to Trainees to Participate in the National Evaluation

Trainees will be invited to participate in the long-term evaluation study at the time each survey is administered by the NIH. Trainees will be asked to provide a primary and secondary email address for the NIH to administer future surveys. The invitation to participate will explain to trainees that: (1) survey data will be shared between the Parties for analysis purposes, and (2) the NIH will share the survey data with the Awardee institution.

PROTECTION OF DATA

To protect the confidentiality and privacy of the graduate students and postdoctoral scientists whose survey data and participation data will be shared under this DSA, the Parties agree to the following:

Protection of Confidential Information

(1) *Trainees' email addresses.* The Awardee will assign a seven character numeric ID to each trainee in the evaluation study, and maintain a key file containing the evaluation IDs, trainees' names, and their email addresses. Sixty days prior to the administration of the Entrance survey, the Awardee will provide the NIH with a file containing the email addresses and evaluation IDs. The NIH will keep the file connecting the email addresses to the evaluation ID in a directory located on a secure server in the NIH Office of Strategic Coordination. The survey data collected will be stored in a different directory than the key file.

(2) *Survey data*. The NIH will share the survey responses with the Awardee institution. The Awardee and the NIH will keep the files in a secure location with limited access to avoid disclosure of trainees' responses. Trainees will be made aware that their data will be shared with their institution. Prior to data analysis on survey data, email addresses will be stripped from the data and replaced with the trainees' evaluation IDs. NIH will share the data from all surveys within thirty days after the survey closes.

(3) *Graduate student Exit survey data collected after the grant ends.* The NIH will administer exit surveys for up to four years after the grant ends to graduate students who provide their email address(es) in the Entrance survey, but graduate after the grant ends. The Awardee will continue to provide to the NIH the list of students who graduate from the institution in each academic semester or quarter so that NIH can administer the Exit survey four years after the grant ends. The list will be provided within thirty days prior to the graduation date. If the institution has an institutional exit survey, the NIH will administer the Exit survey to coincide with the schedule of the institution. If the institution does not have an institutional exit survey, the NIH will administer the Exit survey prior to graduation. The NIH will share the data from graduate student Exit surveys with the Awardee within thirty days after the survey closes.

(4) *Postdoctoral scientist Exit data collected by NIH.* The NIH will request a status update annually from postdoctoral scientists and the results will determine if it is time for an Exit survey. If a respondent has

changed positions (i.e., no longer holds a postdoctoral scientist appointment at the institution, or is no longer employed by the institution), the respondent will be directed to an Exit survey. The respondent's status and Exit survey data will be de-identified using the evaluation ID and shared with the institution. The NIH will share the data from postdoctoral scientist Exit surveys with the Awardee thirty days after the survey closes.

(5) *Post-exit survey data collected by NIH.* The NIH will administer Post-exit surveys at 2, 6, 10, and 15 years after graduation for graduate students and after the Exit survey for postdoctoral scientists who provide email addresses in the Entrance survey. The NIH will share the data from Post-exit surveys with the Awardee within thirty days after the survey closes.

(6) *Data Form.* NIH will provide the Awardee with a form to report BEST program activities and institutional data. The form consists of four sections described below:

For section one, the awardee will provide information on the BEST program, such as, the criteria for participation, requirements for certificates, and additional requirements to participate in specific activities. The awardee will provide information on activities included in the BEST program, along with data on the individual graduate students and postdoctoral scientists who participated in these activities. Examples of BEST activities include workshops, seminars, courses, internships, and mentorships. Individual graduate student and postdoctoral scientist level data will be reported by the evaluation ID number and will include information such as the name of activity, number of participation hours for the activity, length of time for the activity, topics covered, and any other pertinent information about each BEST activity. For example, for an internship, the awardee will report the following: type of participant (graduate student or postdoctoral scientist), source of payment, internship partner name, full-time/part-time, duties, number of hours per week, span of time in weeks, course credit, and mandatory/voluntary.

For section two, the awardee will provide aggregate data on graduate students, postdoctoral scientists, and faculty participation in the BEST program. The data are generally reported for all BEST participants, and includes: (1) the number of graduate students and postdoctoral scientists in participating departments/graduate programs, (2) elapsed time to doctorate, (3) the postdoctoral placement of postdoctoral scientists, (4) length of time in postdoctoral training, (5) summary data on graduate students who did not complete the Ph.D. program and left to pursue non-biomedical science fields, (6) faculty participation in BEST program, (7) BEST activities offered to faculty, (8) faculty attitudes towards career development activities, (9) the role of external partners, and (10) non-NIH funding sources. Section two also includes "The Trainee Diversity Report" of gender, ethnicity, race, disability, and disadvantaged backgrounds. The "Trainee Diversity Report" has been approved under OMB #0925-0002 (REV. 08/12). This report is required by the RFA.

For section three, for the five years prior to the BEST award, the Awardee will provide aggregate data for the departments and/or graduate programs participating in BEST. This data will include: (1) the elapsed median time to doctorate, (2) the career paths chosen by Ph.D. recipients, and (3) the length of time in postdoctoral training.

For section four, in year four of the BEST award, the Awardee will provide aggregate data for the departments and/or graduate programs participating in BEST for the prior four years. This data will include: (1) the elapsed median time to doctorate, (2) the career paths chosen by Ph.D. recipients, and (3) the length of time in postdoctoral training.

Method of Sharing Data

The Parties will use the NIH Secure Email/File Transfer Service (SEFT) to share the data. This service allows users to send and receive emails securely on a secure socket layer (SSL)/encrypted connection. Using the SEFT ensures the protection of personally identifiable information (PII) and thoroughly secures all data and information being sent via email.

Privacy Act Notice and Prohibition against Unauthorized Use or Disclosure of CDI

The Parties agree not to use or disclose CDI except as required or permitted by the DSA, by law, or for other mutually agreeable purposes. The Parties acknowledge that the CDI collected by the NIH is subject to the Privacy Act of 1974, 5 U.S.C. § 552a, and is maintained in accordance with the Privacy Act System of Record Notice 09-25-0156 (http://oma.od.nih.gov/public/ms/privacy/pafiles/0156.htm) covering *"Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the Public Health Service, HHS/PHS/NIH/OD."* The primary uses of the records are to support evaluation of the policies, programs, organization, methods, materials, activities or services of the NIH in fulfilling its missions and legal authorities. In accordance with the Privacy Act System of Record Notice 09-25-0156, the Parties acknowledge that disclosure may be made to NIH contractors and collaborating researchers, organizations, and state and local officials for the purpose of conducting evaluation studies or collecting, aggregating, processing or analyzing records used in evaluation studies. Those recipients are required to protect the confidentiality of such records.

Maintenance of the Security of Electronic Information

The Parties shall implement, maintain, and use appropriate administrative, technical, and physical security measures to preserve the confidentiality, integrity, and availability of all electronically maintained or transmitted CDI. The survey and program participation data will be stored and maintained in the secure server of the NIH Office of Strategic Coordination, which is the office that provides the funding for the BEST program. A password protected directory will be used and only authorized users will have access to the survey data and participation data. The specifications of this DSA will be extended to all personnel who have access to the data. The NIH Center for Information Technology will administer the online surveys and will be responsible for ensuring the security of the data collected. The Contractor will follow the NIH Privacy Act Systems of Record Notice 09-25-0156.

Reporting of Unauthorized Disclosures or Misuse of Covered Data and Information

Each party shall, within one day of discovery, notify the other party regarding any unauthorized use or disclosure of CDI. The notification shall identify: (i) the nature of the unauthorized use or disclosure, (ii) the CDI used or disclosed, (iii) who made the unauthorized use or received the unauthorized disclosure, (iv) what has been done or will be done to mitigate any deleterious effect of the unauthorized use or disclosure, and (v) what corrective actions have been taken or shall be taken to prevent future similar unauthorized use or disclosure.

Amendments and Termination of this Agreement

The Parties may amend or terminate this agreement by mutual consent, in writing, at any time.

Records Disposition

As described in the Privacy Act System of Record Notice 09-25-0156 (http://oma.od.nih.gov/public/ms/privacy/pafiles/0156.htm), the records will be retained and disposed of in accordance with the NIH Records Control Schedule contained in NIH Manual Chapter 1743, Appendix

1 – "Keeping and Destroying Records" (HHS Records Management Manual, Appendix B-361), item 1100-C-2.

Governing Law

This DSA shall be governed by Federal law, as applied by the Federal Courts in the District of Columbia. Federal law and regulations will preempt any conflicting or inconsistent provisions in this Agreement.

[INSERT AWARDEE NAME]

_____   _____
[INSERT AWARDEE'S PI NAME]   Date
[INSERT AWARDEE'S PI TITLE]

_____   _____
[INSERT INSTITUTIONAL REPRESENTATIVE'S NAME]   Date
[INSERT INSTITUTIONAL REPRESENTATIVE'S TITLE]

National Institutes of Health

_____   _____
Patricia Labosky, Ph.D.   Date
Program Director and Team Leader
Office of Strategic Coordination
Division of Program Coordination, Planning, and
Strategic Initiative
Office of the Director

<center>**Appendix A: Proposed Schedule**</center>

<center>**Cohort 1: Sept 20, 2013 – August 31, 2018**
Cohort 2: Sept 18, 2014 – August 31, 2019</center>

CDI Item	Proposed Schedule	
1. Awardee will assign a seven character numeric ID (evaluation ID) to each trainee. Awardee will provide to the NIH the institutional email addresses of trainees and their IDs.	Data sharing: 60 days prior to the administration of the Entrance survey	
2. Surveys to be administered	**Cohort 1**	**Cohort 2**
a. Graduate Student entrance Survey	Survey administration: August-October 2015 August-October 2016 August-October 2017

Data sharing: within 30 days after the survey closes | Survey administration: August-October 2015 August-October 2016 August-October 2017 August-October 2018

Data sharing: within 30 days after the survey closes |
| b. Graduate Student Interim Survey | Survey administration: May-June 2017 | Survey administration: May-June 2017 |

CDI Item	Proposed Schedule	
		May-June 2019
	Data sharing: within 30 days after the survey closes	Data sharing: within 30 days after the survey closes
c. Graduate Student Exit Survey	Period of administration: December 2015 through May 2018	Period of administration: December 2015 through May 2019
	Survey Administration Option 1: For Awardees that administer an institutional exit survey, to be administered each year to coincide with the administration of an institutional exit survey at the time of thesis/dissertation submission or before graduation.	Survey Administration Option 1: For Awardees that administer an institutional exit survey, to be administered each year to coincide with the administration of an institutional exit survey at the time of thesis/dissertation submission or before graduation.
	Survey Administration Option 2: For Awardees that do not administer an institutional exit survey, to be administered at the end of each semester or quarter after a graduate student has defended their thesis/dissertation or before graduation	Survey Administration Option 2: For Awardees that do not administer an institutional exit survey, to be administered at the end of each semester or quarter after a graduate student has defended their thesis/dissertation or before graduation
	Data sharing: within 30 days after each semester/quarter	Data sharing: within 30 days after each semester/quarter
d. Graduate Student Exit Survey to be Administered for up to four years after the grant ends	Period of administration: December 2018-December 2022	Period of administration: December 2019-December 2023
	Survey Administration Option 1: If the institution has an institutional exit survey, the NIH will administer the Exit survey to coincide with the exit survey schedule.	Survey Administration Option 1: If the institution has an institutional exit survey, the NIH will administer the Exit survey to coincide with the exit survey schedule.
	Survey Administration Option 2: If the institution does not have an institutional exit survey, the NIH will administer the Exit survey prior to graduation.	Survey Administration Option 2: If the institution does not have an institutional exit survey, the NIH will administer the Exit survey prior to graduation.
	Data sharing: within 30 days after the survey closes	Data sharing: within 30 days after the survey closes
e. Postdoctoral Scientist Entrance Survey	Survey administration: August-October 2015 August-October 2016 August-October 2017	Survey administration: August-October 2015 August-October 2016 August-October 2017 August-October 2018
	Data sharing: within 30 days after the survey closes	Data sharing: within 30 days after the survey closes

CDI Item	Proposed Schedule	
f. Postdoctoral scientist status update to determine administration of the Exit survey and Exit survey	Survey administration: May-June 2016 May-June 2017 May-June 2018 May-June 2019 May-June 2020 May-June 2021 May-June 2022 Data sharing: 30 days after the survey closes	Survey administration: May-June 2016 May-June 2017 May-June 2018 May-June 2019 May-June 2020 May-June 2021 May-June 2022 May-June 2023 Data sharing: 30 days after the survey closes
g. Two-year Post-exit Surveys for Graduate Students and Postdoctoral scientists	Survey administration: May-June 2018 May-June 2019 May-June 2020 May-June 2021 May-June 2022 May-June 2023 May-June 2024 May-June 2025 Data sharing: 30 days after the survey closes	Survey administration: May-June 2018 May-June 2019 May-June 2020 May-June 2021 May-June 2022 May-June 2023 May-June 2024 May-June 2025 May-June 2026 Data sharing: 30 days after the survey closes
3. Data Form		
Section 1: Program Description and Trainees' Participation in BEST Activities (report annually)	Data sharing: RPPR submission date 2015 RPPR submission date 2016 RPPR submission date 2017	Data sharing: RPPR submission date 2015 RPPR submission date 2016 RPPR submission date 2017 RPPR submission date 2018
Section 2: Aggregate Data from Participating Departments and/or Graduate Programs (reported annually)	Data sharing: RPPR submission date 2015 RPPR submission date 2016 RPPR submission date 2017	Data sharing: RPPR submission date 2015 RPPR submission date 2016 RPPR submission date 2017 RPPR submission date 2018
Section 3: Baseline Information for the Five Years Prior to Receiving the BEST Award	Data sharing: RPPR submission date (only once in FY 2015)	Data sharing: RPPR submission date (only once in FY 2015)
Section 4: Information Reported at Year 4 of the Award	Data sharing: RPPR submission date 2017	Data sharing: RPPR submission date 2018