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174	Abstract	<p>Rapid advances in microarray and sequencing technologies are making genotyping and genome sequencing more affordable and readily available. There is an expectation that genomic sequencing technologies improve personalized diagnosis and personalized drug therapy. Concurrently, provision of direct-to-consumer genetic testing by commercial providers has enabled individuals' direct access to their genomic data. The expanded availability of genomic data is perceived as influencing the relationship between the various parties involved including healthcare professionals, researchers, patients, individuals, families, industry, and government. This results in a need to revisit their roles and responsibilities. In a 1-day agenda-setting meeting organized by COST Action IS1303 "Citizen's Health through public-private Initiatives: Public health, Market and Ethical perspectives," participants discussed the main challenges associated with the expanded availability of genomic information, with a specific focus on public-private partnerships, and provided an outline from which to discuss in detail the identified challenges. This paper summarizes the points raised at this meeting in five main parts and highlights the key cross-cutting themes. In light of the increasing availability of genomic information, it is expected that this paper will provide timely direction for future research and policy making in this area.</p>
175	Keywords separated by ' - '	Genomics - Clinical and research genomic data - Return of results - Data sharing - Informed consent - Direct-to-consumer genetic testing
176	Foot note information	This article is part of the Topical Collection on <i>Citizen's Health through public-private Initiatives: Public health, Market and Ethical perspectives</i>

# The challenges of the expanded availability of genomic information: an agenda-setting paper for the SI on citizen's health through public-private initiatives

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**Abstract** Rapid advances in microarray and sequencing technologies are making genotyping and genome sequencing more affordable and readily available. There is an expectation that genomic sequencing technologies improve personalized diagnosis and personalized drug therapy. Concurrently, provision of direct-to-consumer genetic testing by commercial providers has

enabled individuals' direct access to their genomic data. The expanded availability of genomic data is perceived as influencing the relationship between the various parties involved including healthcare professionals, researchers, patients, individuals, families, industry, and government. This results in a need to revisit their roles and responsibilities. In a 1-day agenda-

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27 setting meeting organized by COST Action IS1303 “Citizen’s  
 28 Health through public-private Initiatives: Public health, Market  
 29 and Ethical perspectives,” participants discussed the main chal-  
 30 lenges associated with the expanded availability of genomic  
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 33 the identified challenges. This paper summarizes the points  
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 35 key cross-cutting themes. In light of the increasing availability  
 36 of genomic information, it is expected that this paper will pro-  
 37 vide timely direction for future research and policy making in  
 38 this area.

39 **Keywords** Genomics · Clinical and research genomic data ·  
 40 Return of results · Data sharing · Informed consent ·  
 41 Direct-to-consumer genetic testing

Q3 42 **Introduction**

43 Rapid advances in microarray and sequencing technologies  
 44 are making genotyping and genome sequencing more afford-  
 45 able and readily available. The decreasing cost and time need-  
 46 ed for sequencing has generated the expectation that the use of  
 47 next-generation sequencing technologies (NGS) (i.e., new  
 48 high-throughput and massively parallel DNA-sequencing  
 49 technologies) will greatly increase in a wide range of contexts  
 50 (Rehm 2017). Already, NGS is increasingly used to identify  
 51 causative mutations in some patients with rare or undiagnosed  
 52 diseases of genetic origin (Levenson 2014). Furthermore, the  
 53 expectation has grown that genomic-sequencing technologies  
 54 could be applied in a broad range of clinical situations, leading  
 55 to personalized diagnoses and personalized drug therapy. Data  
 56 arising from genome sequencing is likely to lead to a better  
 57 prediction of disease risk and treatment response and the  
 58 avoidance of adverse events (Lazaridis et al. 2016; Rehm  
 59 2017; Soden et al. 2014; van Zelst-Stams et al. 2014).

60 Furthermore, it is anticipated that an increasing number of  
 61 healthy individuals will use genomic technologies to predict  
 62 personal risks (Knoppers et al. 2014; van El et al. 2013). For  
 63 over a decade now, genetic testing companies have been mar-  
 64 keting and selling genetic tests direct to consumer (DTC) via  
 65 the internet (Howard and Borry 2012). A number of online  
 66 interpretation services (such as Promethease, LiveWello, and  
 67 Interpretome) have also emerged that allow consumers to re-  
 68 ceive an analysis of their own raw genomic data received from  
 69 these DTC genetic testing companies. These online services  
 70 will allow for further interpretation of the user’s genome.

71 Between 2013 and 2017, the COST Action IS1303  
 72 “Citizen’s Health through public-private Initiatives: Public  
 73 health, Market and Ethical perspectives” identified and  
 74 reunited a community of academic and industry researchers  
 75 as well as other stakeholders with expertise in bioethics, social

studies of science and technology, genetics, information and  
 communication technology, stakeholder deliberation, and  
 patient-centered initiatives (PCI). As part of this networking  
 project, a meeting was convened in Leuven (Belgium) on 21  
 and 22 March 2016, in order to identify and discuss the chal-  
 lenges related to the expanded availability of genomic infor-  
 mation in society. A particular focus was placed on the context  
 of public-private partnerships in genomics. The meeting  
 aimed to promote a mutually informative and collaborative  
 agenda-setting process. The aim of this document is to iden-  
 tify, via horizon scanning, the main forthcoming challenges  
 and areas of interest arising from the availability of genomic  
 information in society. It is expected that the results of this  
 paper will allow for constructive reflection on future develop-  
 ments and the identification of research priorities. It is de-  
 signed for use by a wide array of stakeholders, such as regu-  
 lators, policy makers, healthcare institutions, patient organiza-  
 tions, and industry.

Current and future challenges were identified in the context  
 of five salient/key relationships in the realm of genetics and  
 genomics (Fig. 1): (1) healthcare professionals, patients, and  
 families; (2) genomic data and its impact on individuals and  
 families; (3) researchers, research participants, and the general  
 public; (4) genomics, society, and its values; and (5) industry,  
 governments, and citizens. An overlap between these different  
 relationships obviously exists, but they help to frame the var-  
 ious areas of focus. As well as these overlaps, some identified  
 challenges are also relevant to more than one type of  
 relationship.

**Healthcare professionals, patients, and families**

**Developing policies for reporting results** The clinical imple-  
 mentation of NGS technologies creates huge challenges for  
 laboratories and clinicians at the level of returning results. The  
 use of NGS for whole exome or whole genome sequencing  
 has the potential to identify variants in genes for which the  
 function is unknown or variants for which the pathogenicity  
 has not been established (Ream and Mikati 2014). Some com-  
 mentators have concluded that using NGS may “raise more  
 questions than it answers for some patients” (Ream and Mikati  
 2014). In addition to issues related to the interpretation and  
 reporting of these variants of unknown significance (VUS),  
 uncertainty remains regarding how to deal with incidental  
 findings unrelated to the clinical indication of the test. This  
 issue is particularly complicated when the variants relate to  
 late-onset conditions (Katsanis and Katsanis 2013) or  
 untreatable conditions (Vasta et al. 2012). Such information  
 can also have familial implications (Babkina and Graham  
 2014). Different guidelines and protocols that describe how  
 to handle the return of results, including and also VUS and  
 incidental findings have been developed and need further

**Fig. 1** Five salient/key relationships in the realm of genetics and genomics and the central cross-cutting themes



126 elaboration as well as potential harmonization, especially with  
 127 regard to the pertinent responsibilities of involved parties  
 128 (Vears et al. 2017a, b).

129 **Developing appropriate clinical and counseling frame-**  
 130 **works and structures** The enhanced technical options for  
 131 genetic testing are not yet accompanied by comprehensive  
 132 genetic counseling models for the genomic era. New models  
 133 and frameworks of genetic counseling that extend beyond the  
 134 traditional clinical genetics and genetic counseling setting  
 135 need to be developed (Bradbury et al. 2014). Given the poten-  
 136 tial of NGS to generate high volumes of data, and uncer-  
 137 tainties around results of the data generated, there is a pressing  
 138 need to revitalize current genetic counseling services.  
 139 Furthermore, individuals receiving sequencing results may  
 140 adopt different roles such as patient, customer, hobbyist, or  
 141 activist. Previously, individuals largely had a unique and de-  
 142 fined pathway for accessing genetic information through the  
 143 traditional healthcare setting (via clinical geneticists and/or  
 144 genetic counselors) on the basis of specific clinical concerns  
 145 or family history. In contrast, individuals now have the

146 opportunity to choose genetic testing without the intermediary  
 147 of a professional assessment of clinical need and can obtain  
 148 testing for a variety of purposes, including mere curiosity.  
 149 Individuals may also choose to use sequencing services that  
 150 provide access to raw data without interpretation, providing  
 151 them with “unfiltered” genetic information to use as they see  
 152 fit. They could, for example, attempt to “self-interpret” with  
 153 the support of publicly available sites for the analysis of ge-  
 154 netic data (such as openSNP), or use it for entirely unrelated  
 155 purposes such as artistic endeavors (Werner-Felmayer 2014).  
 156 Genetic counseling policies should be developed in relation to  
 157 the different ways individuals can access genomic informa-  
 158 tion. As a part of this, it is important to (re)define the roles of  
 159 clinical geneticists, genetic/genomic counselors, and other  
 160 professionals such as general practitioners specialized in clin-  
 161 ical genetics who provide advice in relation to the wide array  
 162 of genomic information (Middleton et al. 2015).

163 **Training healthcare professionals so they understand ge-**  
 164 **nomics and its role in healthcare** In the clinical setting, even  
 165 among genetic experts, there is a clear need for a collaborative,

166 multidisciplinary effort (biology, bioinformatics, clinical ge- 218  
 167 netics) to interpret and understand NGS results. As genomics 219  
 168 continues to move from specialized centers to mainstream 220  
 169 medicine, various medical specialists who are unfamiliar with 221  
 170 clinical genetics or genetic counseling may be increasingly 222  
 171 required to have a greater role in the prescribing and/or inter- 223  
 172 pretation of genetic testing and the communication of geno- 224  
 173 mic information. For instance, Gen-Equip (Paneque et al. 225  
 174 2017; Primary Care Genetics) is an example of an effort that 226  
 175 has been made to enable health professionals who are working 227  
 176 in primary care to update their knowledge and skills in genet- 228  
 177 ics. The Gen-Equip project ([https://www.primarycaregenetics.](https://www.primarycaregenetics.org) 229  
 178 [org](https://www.primarycaregenetics.org)) was co-funded by the EU Erasmus+ Programme. It de- 230  
 179 veloped a program of online learning modules and tools to 231  
 180 support daily practice in primary care about genetics. 232

181 It will be necessary to educate and train healthcare profes- 233  
 182 sionals to translate this changing landscape into appropriate 234  
 183 patient care, including family centered. Authors have identi- 235  
 184 fied a need for a new kind of physician who will be trained in 236  
 185 several disciplines including medicine, genetics, and counsel- 237  
 186 ing (Gonzalez-Garay et al. 2013; Iacobazzi et al. 2014). Others 238  
 187 advocate either for clinical geneticists to have a more promi- 239  
 188 nent role in the clinical interpretation of data (Gomez-Lobo 240  
 189 2014; Grody et al. 2013) or for several experts such as “mo- 241  
 190 lecular biologists, clinical geneticists, and bioinformaticists” 242  
 191 to combine their efforts for data interpretation (Grody et al. 243  
 192 2013). The implementation of NGS is no longer viewed as an 244  
 193 individual physician’s endeavor, and therefore clinics offering 245  
 194 genomic testing will need to adapt to this increased need for 246  
 195 cross-disciplinary collaboration (Rigter et al. 2013), including 247  
 196 conducting ethical, legal, and social issues research to accom- 248  
 197 pany the clinical advances, especially while roles for labora- 249  
 198 tory geneticists and clinicians are changing. 250

199 **Identifying the ethical and legal responsibilities of** 251  
 200 **healthcare professionals towards families** Healthcare profes- 252  
 201 sionals are increasingly asked for advice about the commu- 253  
 202 nication of genetic risk information to individuals as well as 254  
 203 regarding communication within families. Based on the pre- 255  
 204 mise of medical confidentiality, professional guidelines rec- 256  
 205 ommend that professionals should not contact a client’s family 257  
 206 members directly (Forrest et al. 2007) without his or her ap- 258  
 207 proval. Adherence to this guideline means that the client’s 259  
 208 wish to disclose (or not disclose) information to relatives, 260  
 209 must be respected (Hodgson and Gaff 2013). However, these 261  
 210 guidelines also state that professionals should actively encour- 262  
 211 age clients to transmit relevant risk information to relatives 263  
 212 and support them throughout the communication process 264  
 213 (Forrest et al. 2007). When clients fail to disclose important 265  
 214 information to relatives, professionals are confronted with po- 266  
 215 tential ethical tensions between, on the one hand, addressing 267  
 216 the needs of the individual and his/her right to confidentiality, 268  
 217 and on the other hand, considering the potential for harm to

218 uninformed relatives (Dheensa et al. 2015a). Some have rec- 219  
 220 ommended a more proactive role for health professionals 221  
 222 (Battistuzzi et al. 2012; Otlowski 2013), although there is lack 223  
 224 of clarity regarding how this could be achieved. Legislative 225  
 226 frameworks in countries such as France, Australia, and 227  
 228 Norway have created mechanisms that provide healthcare pro- 229  
 230 fessionals with the potential to override their patients’ confi- 231  
 232 dentiality in the interests of their relatives (Dheensa et al. 233  
 234 2015b; D’Audiffret van Haecke and de Montgolfier 2016; 235  
 236 Weaver 2016). It is important to study the impact of these 237  
 238 legislative changes and to consider whether they should be 239  
 240 implemented more widely. The fact that such large volumes 241  
 242 of data can be generated about patients also raises the question 243  
 244 of whether there is a duty for health professionals to re-contact 245  
 246 former patients should new genomic findings of potential clin- 246  
 247 ical relevance come to light (Carrieri et al. 2017b). Although 247  
 248 disclosing these findings may offer novel and more effective 248  
 249 diagnostic/clinical options to the patient, re-contact also has 249  
 250 the potential to cause anxiety and alarm to recipients of this 250  
 251 new information, and their families, and may be logistically 251  
 252 very difficult to achieve in practice. This highlights the need to 253  
 254 explore the attitudes of individuals regarding communication 254  
 255 of risks to their families as well as the factors that influence 255  
 256 them towards a course of action. This also raises questions 256  
 257 about the level of confidence of health professionals in 257  
 258 performing the proposed practices, the provision of necessary 258  
 259 funding and resources for these activities, as well as the crea- 259  
 260 tion of the necessary infrastructure to accommodate said prac- 260  
 261 tices. This might include updated registries, patient portals, 261  
 262 other forms of consent, mobilization of patients’ associations 262  
 263 in order to sensitize patients to regularly contacting genetic 263  
 264 services, providing ongoing training for the genetic counsel- 264  
 265 ing workforce, and being open to adopting novel approaches 265  
 266 if needed (Carrieri et al. 2017a). 266  
 267

**The impact of genomic data on individuals and families** 252  
 253

**Identifying strategies for offering appropriate, informed** 254  
**choices to patients** In light of the new potential applications 255  
 arising from using NGS in healthcare, various challenges re- 256  
 main with regard to obtaining informed consent, the reporting 257  
 of results, and the inclusion of patient preferences regarding 258  
 the return of results (Budin-Ljøsne et al. 2016). Determining 259  
 which results should be returned, including incidental findings 260  
 and VUS, following the use NGS for diagnostic purposes 261  
 poses challenges for laboratories and clinicians (see below). 262  
 It also poses challenges for individuals and families in making 263  
 (truly) informed decisions with regard to the results they wish 264  
 to receive. Indeed, they may not have enough information 265  
 and/or understanding to support such a truly informed deci- 266  
 sion. More research is required to develop appropriate 267

268 strategies to explain the different types of results that could be  
 269 generated, and the related uncertainties before a test. Research  
 270 also needs to be performed regarding how best to report results  
 271 to patients, including how to support probands to discuss,  
 272 these results with family members (Daly et al. 2016; de  
 273 Geus et al. 2016), if necessary. This approach should include  
 274 discussion among different stakeholders, as well as careful  
 275 consideration of the impact that reporting strategies could cre-  
 276 ate in both patient populations and the general public, and with  
 277 regard to the potential costs to the healthcare system. The  
 278 access to genomic medicine will also increasingly be available  
 279 throughout the lifespan, from conception to elderly care.  
 280 Individuals will be confronted with increasing technological  
 281 possibilities and related informed choices to be made in vari-  
 282 ous types to situations, such as preconceptional carrier screen-  
 283 ing, prenatal testing, preimplantation genetic diagnosis, new-  
 284 born screening, tumor profiling, or genomic risk assessments  
 285 in adult life (Rehm 2017).

286 **Identifying strategies to support interfamilial genetic com-**  
 287 **munication** Clinical genetic healthcare providers have always  
 288 strongly emphasized the familial nature of genetic informa-  
 289 tion, and this has, in turn, guided patients' use of these genetic  
 290 services. Emphasis has mainly been placed on helping the  
 291 individual understand testing, obtaining consent, and  
 292 returning the results of testing to the individual. Less attention  
 293 has been given to how to help these individuals respond to  
 294 their genetic information, particularly when considering the  
 295 *shared* nature of genetic information. As genetic sequencing  
 296 and testing also has implications for relatives, genetic  
 297 healthcare services have the challenge of supporting families,  
 298 not just individuals (Eisler et al. 2017). Sequencing whole  
 299 genomes/exomes potentially increases the need to involve  
 300 family members to clarify inconclusive test results (newly-  
 301 discovered variants and variants of unknown significance)  
 302 (Hallowell et al. 2015). Therefore, more research is required  
 303 to explore the following: how families cope with genetic in-  
 304 formation; to what extent barriers exist relating to the disclo-  
 305 sure of genetic information within families; and how such  
 306 information impacts interfamilial relations. Although patients  
 307 might initially feel inclined to transmit genetic risk informa-  
 308 tion to their relatives, in reality, sharing of this information can  
 309 be problematic. Individual perspectives, patterns of family  
 310 dynamics, disease characteristics, and cultural factors may  
 311 cause individuals to withhold or delay the disclosure of geno-  
 312 mic information to at-risk relatives (Daly et al. 2016; de Geus  
 313 et al. 2016; Vos et al. 2011). It has been argued that genetic  
 314 information pushes the boundaries of individual autonomy  
 315 from pure independence to a more relational approach to fam-  
 316 ily responsibility (Widdows 2013). Such approaches stress the  
 317 balance between rights, responsibilities, and the autonomy of  
 318 individuals dealing with their own genetic information and the  
 319 way these considerations intertwine with those of a family

(Dheensa et al. 2016). Patients may also be unsure of the 320  
 responsibilities of the healthcare professionals who have been 321  
 involved in their diagnosis—some patients believe that their 322  
 clinician is responsible for informing their relatives, rather 323  
 than the patient himself (Mesters et al. 2005). 324

**Understanding the impact of genomic information on in-** 325  
**dividual identity** The increasing availability of genomic in- 326  
 formation, within and outside the context of the traditional 327  
 healthcare system (i.e., via direct-to-consumer genetic testing 328  
 companies), provides new opportunities for individuals to en- 329  
 gage with this information (O'Riordan 2016). Individuals are 330  
 able now able to have their own genetic data interpreted by all 331  
 kinds of third-party interpretation services, outside of a clini- 332  
 cal context. Healthcare professionals will increasingly being 333  
 challenged by requests from individuals to help interpret ge- 334  
 netic information that was obtained outside a traditional con- 335  
 text. This might put pressure on healthcare systems, as a lot of 336  
 this information might be of limited clinical validity and utility 337  
 and in most of the cases genetic testing was not on medical 338  
 indication (McGuire and Burke 2011). 339

Moreover, genomic information opens up new avenues for 340  
 integrating genomic information into individuals' conceptions 341  
 of "self" (Novas and Rose 2000). A "balancing" of the per- 342  
 ceptions of one's "genetic side" as compared with one's "as- 343  
 pects of oneself" also has relevance not only for personal 344  
 identity, but for expectations, concerns, hopes, and decisions 345  
 regarding genetic/genomic information, technologies, and ser- 346  
 vices. Genetic information may be perceived as an exceptional 347  
 window into our deep identity or may be seen as just one of 348  
 many sources of information about the "self." Further research 349  
 is needed to understand the impact of genomic information on 350  
 patients and families both within and outside the healthcare 351  
 system. 352

**Researchers, research participants, and the general** 353  
**public** 354

**Enabling data sharing while respecting ethical safeguards** 355  
 In order to facilitate public health research, a diverse group of 356  
 international and national funders of health research agreed to 357  
 promote "greater access to and use of data" in equitable, eth- 358  
 ical, and efficient ways (Walport and Brest 2011). More spe- 359  
 cifically in genetics and genomics, international and national 360  
 policies and guidelines have established general frameworks 361  
 to guide researchers in their data-sharing endeavors (Expert 362  
 Advisory Group on Data Access 2015; Human Genome 363  
 Organisation 1996; National Institutes of Health 2014; The 364  
 Organisation for Economic Cooperation and Development 365  
 2007). Biomedical journals have also increasingly made data 366  
 sharing a condition of publication (Barbui 2016; Barsh et al. 367  
 2015). In order to enable scientific advances, various 368



publications have argued for the identification and removal of practical, legislative, professional, institutional, and attitudinal obstacles in order to achieve large-scale creation, access, and integration of data with sufficient sustainability (Burn 2016; Majumder et al. 2016; Wilbanks and Friend 2016). Regarding sharing practices to facilitate downstream uses of data, it is important to ensure that the rights of all parties involved (namely members of the general public, research participants, and their families, researchers, and funding bodies) are respected (Williams and Pigeot 2017). Data sharing, and genomic data-intensive research in general, may trigger concerns that differ considerably from concerns regarding research with human participants, which traditionally tend to be associated with physical risks. In particular, processing sensitive genomic data may raise informational risks for the data subjects, their family members or ethnic groups. Use of genomic data in a discriminatory manner by third parties, such as insurance companies or employers, is a prime example of the unintended consequences of processing genomic data. Consequently, employing a tailored approach to protect the rights of research participants is necessary (Shabani et al. 2014). Data-sharing policies should create mechanisms to reinforce the accountability of the researchers and data users, thereby ensuring that robust procedures are in place to govern data sharing and to respond to data misuses in an adequate manner (Lemke et al. 2010; Trinidad et al. 2010). Policies should endeavor to establish transparent, fair, and objective access and sharing procedures in order to ensure responsible data sharing (Shabani et al. 2015a), and to avoid unintended secondary uses of the data (O'Doherty et al. 2016). At the moment, data-sharing policies are mostly developed within the context of research projects by funders (e.g., NIH, Wellcome Trust) but are often not harmonized across projects and have a limited outreach (Budin-Ljøsne et al. 2014). For instance, they often do not provide guidance on how data produced within a project should be governed after project completion (Bobrow 2015). Furthermore, data sharing for clinical data is needed for optimal interpretation of variants (Hayden 2012).

Importantly, sharing individual-level genomic data also fuels concerns regarding the privacy of data subjects (Rothstein 2010). Privacy breaches resulting from re-identification of data could lead to harm for individuals and undermine public trust on the robustness of the data protection measures adopted by research institutions. Furthermore, while stand-alone anonymized genomic information is currently difficult to re-identify, such re-identification is not impossible. That being said, to date, the reported incidence of re-identification of genomic data has been limited, often requiring high levels of expertise (Gymrek et al. 2013; Homer et al. 2008; Shringarpure and Bustamante 2015). Nevertheless, the evolving potential of genomics and bioinformatics makes the risks of re-identification and/or privacy breaches moving

targets, thereby requiring ongoing monitoring of the field and assessment of the sufficiency of the pertinent legal, ethical, and practical safeguards in place. The importance of adopting organizational and technical safeguards has been highlighted in the recent General Data Protection Regulation (GDPR). While GDPR suggests technical measures such as pseudonymization as an example of safeguards, it is crucial to further elaborate the additional organizational and technical measures to safeguard research participants and patients in the view of sensitive health and genomic data processing.

**Adapting oversight and governance mechanisms for genomic research** Current models of research governance were created at a time when research was often conducted at one site, by one team and involved a limited number of participants. These days, much research is often multi-sited, international (e.g., research consortia) and organizationally complex (Kaye 2011; Kaye and Hawkins 2014). Effective and flexible research governance models that are harmonized across jurisdictions are required to meet the needs of current research approaches. Mechanisms are needed that enable greater transparency and allow for a greater involvement of research participants (Homer et al. 2008; Kaye et al. 2015a; Williams et al. 2015). Data access oversight bodies are examples of new governance tools that might be able to ensure appropriate monitoring of secondary research uses of data (Shabani et al. 2015b). Data access committees could maintain oversight of downstream data uses which are not yet known at the time of data and sample collection. It is expected that oversight bodies play a key part in reassuring research participants that their data is in safe hands and being used in ways that benefit science and society or are consistent with the consent they have given. In doing so, oversight bodies should adopt fair, objective, and transparent access arrangements.

**Assessing innovations in research participation** The role of research participants in genomic research and data sharing is evolving (Dove et al. 2012). It has been argued that both research participants and researchers would benefit from the active involvement of participants in various steps of the research process, from data collection to the management of data access (Erllich et al. 2014), and also obtaining their input when developing research policies (Pomey et al. 2015). Some have argued that by using the potential of various online platforms, individuals' ongoing interactions with researchers, research institutions and other participants would be facilitated. DNA.LAND, Free The Data, and Patients Like Me exemplify initiatives that enable a broad scope of research participation by individuals, including sharing personal genomic and health-related data. The potential challenges to research ethics principles of adopting such approaches require further exploration (Shabani and Borry 2015). Individuals should have sufficient understanding of the research procedure and the

473	associated risks and benefits to ensure informed decision making (Pereira et al. 2014). In particular, concerns exist with regard to the sharing of genomic data with biotech and pharmaceutical companies (Roberts et al. 2017). Questions also exist with regard to the transparency of such data sharing, the appropriateness of used informed consent and the potential lack of ethics approval (Niemic and Howard 2016).	522
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480	<b>Assessing innovations at the level of informed consent (Mascalzoni et al. 2008)</b> Ideally, consent for healthcare procedures is a dynamic process, with an emphasis on disclosure of relevant information to the client, and then assessing the client's understanding of the information and their ability to communicate their consent (Appelbaum 2007). In practice, consent for genetic testing often involves a punctual/one off process whereby experts provide information to participants, who then sign a paper-based consent form. However, this approach may be insufficient to inform research participants about the scope of research and the associated risks and benefits (Hayden 2012). The perceived shortcomings of this approach have led some to conclude that the current consent process, including the forms, are insufficient, and thus adopting alternative approaches appears inevitable (Hayden 2012). Alternative models, such as dynamic consent, have been suggested in order to introduce more flexibility to the consent process (Budin-Ljøsne et al. 2017; Kaye et al. 2015b). While these new consent models have potentially beneficial aspects in addition to obtaining and maintaining valid consent, such as increased participant engagement (Teare et al. 2015), they still need further research and analysis.	529
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502	<b>Genomics, society, and its values</b>	551
503	<b>Minimizing and avoiding negative disruptive uses and impact of genetic information</b> Little is known about how individuals or societies at large deal with genomic testing information or how such information impacts social relations (for example, when information is found about predispositions to stigmatizing diseases such as mental disorders (Gershon and Alliey-Rodriguez 2013) or cancer (Tercyak et al. 2013)). Stigmatization based on genomic information, whether it is based on genomic markers for ethnicity or disease, is a concern and steps should be taken to ensure that genomic information is not disruptive at either the familial or societal levels. Genomic information may be used to discriminate against individuals and their families (for example, in the work place or by insurers) on the basis of their genetic profile/genetic risk predisposition. Cases already exist of discrimination based on information produced through the genetic screening of newborns (Levenson 2016). Some groups, such as ethnic minorities (Joly et al. 2014) and future generations/offspring, may be particularly exposed to genetic discrimination. Indigenous peoples can also be exposed to genetic stigma and discrimination, and mechanisms to mitigate this need to be developed (Arias et al. 2016). Finally, human rights infringements can occur in countries which aim to collect the DNA from all of their citizens in order to develop forensic databases (as exemplified by the recent case of Kuwait) (O'Doherty et al. 2016; Thielking 2016).	552
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574 good by widening access to the technologies in question. The  
 575 market, they suggest, would advance the access by those less  
 576 well-off to genetic technology through the market stimulus  
 577 achieved by the wealthy gaining such access at an earlier point  
 578 (Crozier and Hajzler 2010). An ideal egalitarian scenario that  
 579 would not give proper scope to the potential role of the private  
 580 sector and of private incentives (usually via the notion of  
 581 “profit”) could be an overtly romanticized idea (Farrelly  
 582 2007). Given the feasibility constraints of most western soci-  
 583 eties, with limited budgets and a costly technology (while  
 584 reducing in cost, it is still relatively costly, especially taking  
 585 into account all steps involved), including a role for the private  
 586 sector, via a regulatory framework that permits some  
 587 innovation-friendly incentive-based inequalities in access,  
 588 may be the best approximation of long-term fairness and  
 589 equity.

590 **Linking genomic data to other data sources** A particular  
 591 concern about data use in genomics refers to the continuously  
 592 developing possibilities of interpreting and understanding ge-  
 593 nomic information. Given the exponential growth in data stor-  
 594 age capacities and computational infrastructure, the integra-  
 595 tion of genomic data into the vast amounts of existing data will  
 596 provide additional opportunities to capture the significance of  
 597 genomics for improvement of health. Data brokers, such as  
 598 Axicom, and data holders, such as Google and Facebook,  
 599 collect personal information about consumers, and then com-  
 600 bine and analyze said data to make inferences about them,  
 601 including potentially sensitive inferences. This may infringe  
 602 the privacy of individuals and expose them to significant risks  
 603 (for instance, because data brokers often store data indefin-  
 604 itely) (Federal Trade Commission 2014). Therefore, adopting  
 605 adequate legal safeguards for privacy of the individuals and  
 606 addressing pertinent issues, such as intellectual property and  
 607 access by the third parties, will be of paramount importance.

608 Similarly, data brokers are paying attention to the potential  
 609 uses of genomic data. The current largest data holders would  
 610 be able to connect an analysis of genomic data to an extraor-  
 611 dinarily fine-grained and comprehensive set of behavioral and  
 612 social information arising from their pervasive services.  
 613 Drawing on such a vast repository of “life world”-related in-  
 614 formation may allow previously unprecedented opportunities  
 615 for the analysis and contextualization of genomic information.  
 616 This will create opportunities for new knowledge and insight,  
 617 as well as significant potential for abuse. One particular con-  
 618 cern in this context is the impact of the availability of such  
 619 information on data privacy. As vast quantities and types of  
 620 data, including face and fingerprint recognition, keyboard typ-  
 621 ing or other web surfing habits, consumer characteristics, and  
 622 genome predictions, are available to a large number of com-  
 623 mercial stakeholders, these stakeholders can cross link distant  
 624 data sources (Wjst 2010). Genomic information is likely to  
 625 become part of that integrated picture, especially if it is shared

via the Internet and outside protected spaces. Accordingly, 626  
 genetic privacy is becoming increasingly less likely in the 627  
 long-term. A general issue that this raises concerns the conse- 628  
 quences of a shift in power whereby those who are gathering, 629  
 cross-linking and analyzing the digital footprints of individ- 630  
 uals may have more knowledge about the individual than the 631  
 individual herself (Lupton 2015). While the unprecedented 632  
 availability of this amount of data may be a type of “holy 633  
 grail” for data researchers, it poses many ethical challenges 634  
 that extend beyond the practical/technical challenges of the 635  
 development of hardware capable of dealing with the amount 636  
 of data. In addition, the increasing use of algorithms in 637  
 healthcare setting raise questions about accountability of the 638  
 users and potential risks for the data subjects (Mittelstadt and 639  
 Floridi 2016). 640

## 641 **Industry, governments, and citizens**

642 **Balancing public and private interests** The past decade has 642  
 witnessed the rapid development of genomics research. 643  
 Industry has played an important role in both the development 644  
 of genomic research and the translation from research to clin- 645  
 ical practice (Zerhouni et al. 2007). Policy makers have en- 646  
 dorsed collaborations between public and private partners 647  
 with the goal of stimulating innovation and the economy, cre- 648  
 ating jobs, and achieving a faster implementation of new tech- 649  
 nologies (Department of Health UK 2013). However, the in- 650  
 teraction between public and private actors is also associated 651  
 with ethical and social challenges. Finding balances between 652  
 public and private interests has been a long lasting difficulty in 653  
 human genetics (Contreras 2014). Symbolic of this was the 654  
 competition between the public consortium of the 655  
 International Human Genome Project and the private compa- 656  
 ny Celera Genomics, to see which could sequence the human 657  
 genome first. Discussions have also revolved around genetic 658  
 disease patents, such as the *Association for Molecular* 659  
*Pathology vs. Myriad Genetics* (2013) and the *Greenberg v.* 660  
*Miami Children's Hospital Research Institute* cases (Sterckx 661  
 and Cockbain 2016). Furthermore, various debates have de- 662  
 veloped about the access of commercial companies to 663  
 population-based biobanks, such as deCODE genetics in 664  
 Iceland (Árnason and Andersen 2013). In December 2016, 665  
 academic institutions met in court to decide on gene editing 666  
 patents, potentially worth billions (Potenza 2016). Although 667  
 these various cases highlight different problems, they all illus- 668  
 trate the challenge of finding a balance between, on the one 669  
 hand, stimulating research and innovation, and, on the other 670  
 hand, promoting ethical values such as trustworthiness, re- 671  
 spect for autonomy, transparency, and respect for confidenc- 672  
 iality and privacy. Similarly, involvement of industry raises 673  
 concerns about how to reconcile private and public interests 674  
 in an adequate manner. For many examples in medicine (e.g., 675



676 medications) it is clear that without industry involvement,  
 677 diagnostic and therapeutic advances would not have been  
 678 translated as quickly into clinical practice (Hawkins et al.  
 679 2009). However, the involvement of industry and commer-  
 680 cialization brings challenges relating to trust (Chalmers and  
 681 Nicol 2004), knowledge exclusion, trade secrets, and monop-  
 682 olies (Hong and Walsh 2009; Mitchell et al. 2011), intellectual  
 683 property, conflict of interests, data sharing, informed consent,  
 684 privacy, and confidentiality. Policy developments in the do-  
 685 main of human genetics should aim to maximize public ben-  
 686 efit while allowing a level of intellectual property protection  
 687 that is reasonably necessary to achieve that benefit. It should  
 688 also be noted that while the inclusion of private interests and  
 689 forms of incentive can be beneficial for fostering innovation  
 690 and, thereby, widening access (albeit unequally), the  
 691 balancing of such public and private interests can have a neg-  
 692 ative effect on levels of self-interest and altruistic motivations  
 693 in society more generally and so would also be a reason for  
 694 limiting any unqualified embrace of the private sector as a  
 695 reliable means of promoting access for all in the longer term  
 696 (Feeny 2012).

697 **Defining appropriate policies with regard to direct-to-**  
 698 **consumer genetic testing** For over a decade, genetic testing  
 699 companies have been marketing and selling genetic tests di-  
 700 rectly to consumers. This offer happens via the Internet, and  
 701 often bypasses the traditional healthcare system and any  
 702 healthcare professional involvement; due to these reasons,  
 703 and more, DTC companies have been a source of controversy  
 704 in academic and policy debates (Howard and Borry 2012).  
 705 While the size of the DTC genetic testing market remains  
 706 largely unknown (except for *23 and me*), it is probably rela-  
 707 tively small. On the one hand, many companies that once sold  
 708 DTC genetic tests have left the market. Various companies  
 709 now collaborate with physicians and the traditional healthcare  
 710 system, and have distanced themselves from a consumer-  
 711 driven access model. On the other hand, as genetic testing  
 712 has become much more affordable over the years and genetic  
 713 testing has become more socially acceptable, various compa-  
 714 nies have remained in the field. A review of public and orga-  
 715 nizational policies on DTC indicated there was no uniform  
 716 approach, with some professional organizations warning of  
 717 harms and others supporting autonomous choice (Skirton  
 718 et al. 2012). Although a new In Vitro Diagnostics (IVD)  
 719 Regulation was voted at the European level and will come in  
 720 to force in 2022, for regulators at the national level, the issue  
 721 of DTC genetic testing will certainly remain on the agenda for  
 722 the coming years. (For a more elaborated discussion of the  
 723 regulatory aspects related to the provision of genetic tests,  
 724 please consult following article (Kalokairinou et al. 2017) in  
 725 this thematic issue) A first important policy question is the  
 726 extent to which regulators want to intervene in the provision  
 727 of genetic tests. Some have argued that “the embedding of

genetic testing in a healthcare setting can ensure a context  
 where due emphasis is being provided on the individualized  
 medical supervision of patients, the presence of pre-test and  
 post-test counseling, psychological evaluation and follow-up  
 if appropriate and quality assurance of the tests performed”  
 (Ayme et al. 2013). However, there are discussions regarding  
 whether this should also apply to categories of tests that are  
 labeled as “informational” or “recreational” or that do not  
 offer any assessment of disease risk (Caulfield et al. 2015).  
 Second, legislators can also impact the extent to which genetic  
 tests are occurring within the scope of the healthcare system.  
 Some countries have developed legislation that does not allow  
 for direct access to genomic information, and imposes canali-  
 zation of genetic tests through medical doctors or healthcare  
 professionals (Kalokairinou et al. 2015). Third, various com-  
 mentators have proposed a role for regulatory bodies in im-  
 posing and enforcing “truth in advertising” requirements in  
 order to respond to the concerns relating to inaccurate infor-  
 mation provision and subsequent consumer misunderstanding  
 concerning the validity and utility of genomic information  
 provided (ter Meulen et al. 2012). Fourth, the development  
 of educational interventions targeted towards healthcare pro-  
 fessionals and the general public in order to inform these  
 groups about the lack of scientific validity and relevance of  
 many of these DTC tests, has been suggested (ter Meulen et al.  
 2012). Finally, any regulation that would be developed to  
 manage the DTC genetic testing market would always have  
 to deal with the issue of (international) enforcement. It re-  
 mains difficult to apply a regulatory control on an internation-  
 al market functioning through the Internet.

**Cross-cutting themes**

**Maintaining trust** Various studies have shown that (public)  
 trust is a cornerstone of participation in genomic research  
 (Nobile et al. 2013). But trust is also fragile, and efforts need  
 to be made at the level of information provision, consent pro-  
 cedures, and governance mechanisms in order for research  
 participants to develop and maintain trust in research. Various  
 studies have consistently found that publics have high levels  
 of trust in universities and government research organiza-  
 tions. However, studies also show that trust in research di-  
 minishes if the research is funded by industry (Critchley and  
 Nicol 2009). As knowledge of potential commercial access to  
 genomic information is known to be a relevant consideration  
 in the decision to participate in research, transparency regard-  
 ing commercial use is ethically required (Caulfield et al.  
 2014). Informed consent is a mechanism that allows individ-  
 uals to receive information to enable them to participate in  
 research in a voluntary way. However, informed consent  
 comes with its limitations and needs to be complemented by  
 other governance mechanisms that might address societal



778 concerns. In order to keep trust in technological innovations, it  
 779 is also of crucial importance that appropriate safeguards are in  
 780 place in order to protect individuals from inappropriate dis-  
 781 crimination and stigmatization based on genetic information,  
 782 and also human rights more broadly.

783 **Evidence building** Despite technological progress, there is  
 784 still a wide gap between the DNA sequence data than can be  
 785 generated and our ability to both interpret sequence variants  
 786 and to derive possible health implications from sequence al-  
 787 terations in genes (Stemerding and Krom 2013). Although,  
 788 clinical implementation of NGS technologies has proven to  
 789 be valuable, various challenges remain before routine use of  
 790 this technology can occur (Caleshu and Ashley 2016; Manolio  
 791 et al. 2013). These include a lack of evidence and conflicting  
 792 interpretations of benefit, a lack of institutional and clinical  
 793 acceptance, and limited access to genomic medicine and test-  
 794 ing. It also includes a lack of standards for genomic applica-  
 795 tions such as: integration of genomic results into electronic  
 796 medical records and clinical decision support; follow-up of  
 797 genotyped patients; outreach to at-risk family members; con-  
 798 sent; understanding by patients, clinicians, and public; lack of  
 799 access to comparison “control” sequence data and banking  
 800 resources; and lack of research funding and reimbursement.  
 801 Solutions to these problems are necessary in order to allow  
 802 successful and responsible implementation into the clinical  
 803 setting. Various commentators have also described the need  
 804 for databases that include a comprehensive overview of ge-  
 805 netic variants and related phenotypic information. This infor-  
 806 mation should be accessible to various clinical groups world-  
 807 wide who are involved in interpreting sequence data in clinical  
 808 care and research. Many groups are currently doing this in  
 809 isolation, and data sharing would benefit many patients  
 810 around the world. Policies that reward or require data  
 811 sharing should be developed (Cook-Deegan et al. 2013).  
 812 Nevertheless, due attention should be paid to the legal require-  
 813 ments across jurisdictions that may concern cross-border shar-  
 814 ing of genomic data. Furthermore, the views of the public  
 815 need to be taken into account (Bentzen and Svantesson  
 816 2016; Majumder et al. 2016).

817 **Transferring knowledge to stakeholders**

818 The full potential of the progress being made in genomics and  
 819 related fields will not be realized unless the knowledge gen-  
 820 erated by such endeavors is translated into a usable format and  
 821 transferred to all relevant stakeholders in society. The fore-  
 822 most focus should be on how best to inform all relevant stake-  
 823 holders about the potential benefits and harms regarding  
 824 accessing their genetic information from different sources,  
 825 on developing and advertising best practice procedures, and  
 826 on facilitating access to genetic knowledge in the most

responsible and ethically acceptable way. As such, education 827  
 must address all aspects of the technologies, including ethical 828  
 issues and scientific validity. Rapid education and training in 829  
 genomics is required for many different practitioners in the 830  
 healthcare setting, from scientists and bioinformaticians car- 831  
 rying out diagnostic tests, to doctors in non-genetic specialties 832  
 who may increasingly order such tests independently of clin- 833  
 ical genetics services, to primary care clinicians such as GPs, 834  
 specialist nurses, and midwives. Each stakeholder group will 835  
 have different educational needs, and training must be prag- 836  
 matic and reflect practical needs for certain information rather 837  
 than an idealistic goal to upskill everyone significantly in all 838  
 aspects of the field. Multi-national coordinated efforts (such as 839  
 the Medgen Project or the Gen-Equip project) will be essential 840  
 moving for forward in assisting with the mainstreaming and 841  
 standardization of genomics into clinical care, as well as im- 842  
 proving the visibility of genetics as a whole in the European 843  
 context. 844

**Ensuring data security in clinical and research 845  
 setting 846**

Genetic data is being processed, stored and analyzed on an 847  
 unprecedented scale thanks to decreasing costs; ~250,000 848  
 individual human genomes have been sequenced or are in 849  
 progress thus far (Regalado 2014). Even with conservative 850  
 estimates of doubling data quantities every 18 months, we will 851  
 probably reach massive scale of data generation within the 852  
 next decade. It is estimated that by 2025 between 1 and 25% 853  
 of the eight billion humans worldwide will have had their 854  
 genome sequenced (Stephens et al. 2015). The emerging pos- 855  
 sibilities for obtaining and storing genomic information and 856  
 making it available to individuals, raise novel challenges with 857  
 regard to the security of storage and processing. In many ju- 858  
 risdictions, genetic information is a type of information that 859  
 receives special protection (Equal Employment Opportunity 860Q6  
 Commission 2008) and information and communication tech- 861  
 nology (ICT) security measures need to meet those require- 862  
 ments. Platforms that host or analyze genetic information need 863  
 to be equipped against security threats. In particular, the pri- 864  
 vacy of the data subjects, integrity of the databases and avail- 865  
 ability of the data to authorized users should be reinforced. 866  
 Attention needs to be paid not just to the development of a 867  
 secure computing platform, but also to the security of poten- 868  
 tially associated cloud providers, the legal protections cloud 869  
 services enjoy in their respective jurisdictions, and to secure 870  
 and controlled modes of access (Bentzen and Svantesson 871  
 2016). Unfortunately, genome data has a distributed data 872  
 architecture where data acquisition is still not standardized. 873  
 Instead it involves numerous heterogeneous formats (Costa 874  
 2012) which may raise questions about the data integrity and 875  
 the adequate safeguards against unauthorized data uses 876

877 (Knoppers et al. 2011). Moreover, the issues regarding the  
878 adequate storage and computational infrastructures in a widely  
879 accessible manner should be taken into consideration.  
880 (Eisenstein 2015).

881 **Conclusion**

882 The expanded availability of genetic information is expected  
883 to influence the relationship between various parties, includ-  
884 ing healthcare professionals, individuals, families, research  
885 participants, researchers and industry. We have highlighted  
886 the main challenges arising from the availability of such in-  
887 formation, and suggested areas for further research. In partic-  
888 ular, we have underlined the significance of maintaining trust,  
889 building evidence, transferring knowledge to stakeholders,  
890 and ensuring data security in clinical and research settings,  
891 as the core elements to be respected in light of the expanded  
892 availability of genomic data and the identified challenges.

893 The identified challenges with regard to the expanded  
894 availability of genomic data require various stakeholders  
895 to engage in constructive discussions regarding the best  
896 practices for reporting test results, including reporting inci-  
897 dental findings and VUS. Given the familial implications of  
898 genetic data, it is essential to strike a balance between the  
899 rights, responsibilities, and autonomy of individuals deal-  
900 ing with their own genetic information, and the way these  
901 considerations intertwine with those of a family. Notably, in  
902 dealing with genetic data, it is essential to respect social  
903 values, such as fairness and justice.

904 Furthermore, developing adequate tools and guidelines in  
905 order to assist researchers in sharing genetic data is critical.  
906 Informed consent, privacy safeguards and oversight mecha-  
907 nisms should be improved in order to adequately address the  
908 concerns of individuals relating to data sharing and to ensure  
909 the ethical and legal footing of data sharing. Concurrently,  
910 educating both professionals and the general public could  
911 raise awareness regarding the significance of access to geno-  
912 mic data and assist in clarifying the roles and responsibilities  
913 of the parties involved.

914 The role of regulatory bodies in regulating various aspects  
915 of genetic testing within clinical and research settings is  
916 highlighted by this paper. In particular, regulating various  
917 aspects of commercial direct-to-consumer genetic testing, in-  
918 cluding advertisement of the products and the responsibilities  
919 of healthcare professionals in dealing with the results of such  
920 tests, are recognized as matters of concern.

921 The advancements in genomics and bioinformatic technol-  
922 ogies urge an ongoing monitoring of the associated chal-  
923 lenges, and the adequate addressing of them through robust  
924 policies. It is expected that this paper will direct future re-  
925 search and provide grounds for potential policy developments  
926 if needed.

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