Agencies' Perspective on Public Access Initiatives

March 2, 2023

Panelist: Dr. Christopher Marcum, OSTP Dr. Jessica Tucker, NIH Dr. Martin Halbert, NSF Dr. Patricia Knezek, NASA Dr. Carly Robinson, DOE

Moderator:

Krystal Toups, COGR, CGA

ADVANCING **OPEN SCIENCE** THROUGH **PUBLIC ACCESS** in 2023 AND BEYOND

Christopher Steven Marcum Assistant Director for Open Science and Data Policy

White House Office of Science and Technology Policy

March 02, 2023

Outline

- Definitions
- Foundations for Increasing Public Access
- A Summary of the 2022 OSTP Memorandum on Public Access
- Moving into a Year of Open Science



AN OFFICIAL DEFINITION FOR OPEN SCIENCE

The principle and practice of making research products and processes available to all, while respecting diverse cultures, maintaining security and privacy, and fostering collaborations, reproducibility, and equity.



OSTP DEFINITION OF PUBLIC ACCESS

Public access refers to the free availability of federally

funded scholarly materials to the public

(including publications, data, and other research outputs).



Public Access and Open Science Are Administration Priorities

Open science is an essential part of the Biden-Harris administration's broader commitment to providing public access to the nation's taxpayersupported research and innovation enterprise.

Nelson, Marcum, Isler (2022)



Increasing Access to the Results of Federally Funded Scientific Research

EXECUTIVE OFFICE OF THE PRESIDENT OFFICE OF SCIENCE AND TECHNOLOGY POLICY WASHINGTON, D.C. 20502

February 22, 2013

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

- FROM: John P. Holdren
- SUBJECT: Increasing Access to the Results of Federally Funded Scientific Research





Increasing Access to the Results of Federally Funded Scientific Research

- Guidance from 10 Years Ago
- Since 2013, public access policies for federal agencies with research and development expenditures exceeding \$100M have been guided by an OSTP memo on public access
- Agencies to make research publications freely available to the public as soon as possible but no later than 12-months after publications
- Provided for agencies to develop data management and sharing plans
- No explicit requirement for data sharing





EXECUTIVE OFFICE OF THE PRESIDENT OFFICE OF SCIENCE AND TECHNOLOGY POLICY WASHINGTON, D.C. 20502

August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

- FROM: Dr. Alondra Nelson Deputy Assistant to the President and Deputy Director for Science and Society Performing the Duties of Director Office of Science and Technology Policy (OSTP)
- SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research





VOL. XXXIX, NO. 1, FALL 2022

Policy Guidance Development Ten Years in the Making

- Motivated by principles of equity
- Inspired by open science
- Aligned with existing law
- Informed by federal agencies and a wide array of external stakeholders and the public

Public Access to Advance Equity

BY ALONDRA NELSON, CHRISTOPHER MARCUM, JEDIDAH ISLER

The American public should have access to the knowledge produced by the nation's research and innovation enterprise. Here's how to ensure that access to federally funded research is open, equitable, and secure.

https://issues.org/public-open-access-advance-equity-ostpnelson-marcum-isler/



Overview of New 2022 Guidance

- Dr. Alondra Nelson delivered the new OSTP guidance in a memorandum to agency and department heads on August 25, 2022 affirming: "American investment in such research is essential to the health, economic prosperity, and well-being of the Nation. There should be no delay between taxpayers and the returns on their investments in research."
- The new guidance builds upon much of the 2013 memo by:
 - removing the 12-month publication embargo;
 - strengthening guidance on data and other scholarly material sharing;
 - supporting research integrity and scientific integrity in public access policies; and,
 - setting the stage for implementation through interagency coordination.





WHAT THE POLICY GUIDANCE IS NOT

- A mandate for Open Access or any other publication model
- A replacement of every provision of the 2013 OSTP Memorandum
- A requirement to share protected information and data
- Inconsistent with law





TIMELINE FOR THE 2022 OSTP PUBLIC ACCESS POLICY



15



TIMELINE FOR THE 2022 OSTP PUBLIC ACCESS POLICY





16

Interagency Coordination

- Coordination among federal science agencies is critical for the success of delivering America's research to the public.
- The National Science and Technology Council Subcommittee on Open Science (Subcommittee) was chartered to facilitate such coordination between federal science agencies in conjunction with OSTP





2023 A Year of Open Science



JANUARY 11, 2023

FACT SHEET: Biden-Harris Administration Announces New Actions to Advance Open and Equitable Research

→ OSTP → BRIEFING ROOM → PRESS RELEASES

OSTP launches Year of Open Science to advance national open science policies across the federal government in 2023



Science.gov

OPEN.SCIENCE.GOV

Your Gateway to U.S. Federal Science

Home About STEM Opportunities

tunities Translate

Open Science Announcements from Federal Agencies

Open Science is the principle and practice of making research products and processes available to all, while respecting diverse cultures, maintaining security and privacy, and fostering collaborations, reproducibility, and equity.

Federal agencies are celebrating 2023 as a Year of Open Science, a multi-agency initiative across the federal government to spark change and inspire open science engagement through events and activities that will advance adoption of open, equitable, and secure science.

Centers for Disease ControlNational Institutes of HeDepartment of AgricultureNational Institute of StaDepartment of CommerceNational Oceanic and AtDepartment of EnergyNational Science FoundNational Aeronautics and Space AdministrationU.S. Geological SurveyNational Endowment for the HumanitiesU.S. General Services A

National Institutes of Health National Institute of Standards and Technology National Oceanic and Atmospheric Administration National Science Foundation U.S. Geological Survey U.S. General Services Administration



This site is your gateway to major announcements by federal agencies that support open science initiatives, programs, and events.



https://www.science.gov

THANK YOU!

Christopher.S.Marcum@ostp.eop.gov

Happy Year of Open Science!







NATIONAL INSTITUTES OF HEALTH

ADVANCING RESEARCH THROUGH PUBLIC ACCESS: An Integrated Approach

Jessica Tucker, PhD Acting Deputy Director, Office of Science Policy National Institutes of Health

> Council on Government Relations Virtual Membership Meeting March 2, 2023

MAXIMIZING THE BENEFITS OF PUBLIC ACCESS GOALS FOR TODAY'S CONVERSATION

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Describe the strong foundation for Public Access in place at NIH



Review NIH's Public Access Plan



Get your feedback on intersections with your community

AN INTEGRATED DATA ECOSYSTEM



AN INTEGRATED DATA ECOSYSTEM



IN A NUTSHELL... MAJOR PILLARS OF THE OSTP MEMO ON EQUITABLE ACCESS

 Implementation of Data Management and Sharing Policy in Jan 2023 meets all expectations

ACCESS TO

DATA



ACCESS TO PUBLICATIONS (BY 2025)

- Continue current
 processes
- Remove the embargo period for NIH-funded publications
- Continue to monitor trends in publication fees and policies

METADATA/ PERSISTENT IDENTIFIERS (PIDS) (BY 2027)

- MORE TO COME...
- NIH is piloting several programs in this space, we will define best practices

HOW IT STARTED, HOW IT'S GOING SUCCESS OF CURRENT NIH PUBLIC ACCESS POLICY (AFTER 2008)

The Director of the National Institutes of Health shall require that **all investigators funded by the NIH** submit or have submitted for them to...**PubMed Central** an electronic version of their final peer-reviewed manuscripts **upon acceptance for publication**, to be made **publicly available no later than 12 months after the official date of publication**...

Implements Division G, Title II, Section 218 of PL 110-161 Consolidated Appropriations Act, 2008



PUBLIC ACCESS TO PUBLICATIONS OUR PLAN TO BUILD FROM OUR FOUNDATION

On or by Dec 31, 2025 Revised Public Access Policy Effective

Expectation from 2022 OSTP Memo	Current Practices To Continue	New Practices NIH Will Institute	New Practices Proposed
Peer-reviewed scholarly publications made freely available, publicly accessible in agency-designated repositories without embargo after publication	 PMC serves as repository Manuscripts submitted to PMC at time of acceptance OR Journals with agreements with NIH will submit on authors' behalf when published 	 Articles will be available post- publication in PMC as soon as processing is complete, without an embargo period 	 Develop language regarding retaining rights necessary to comply Clarify official date of publication (online vs. print)

PUBLIC ACCESS TO PUBLICATIONS OUR PLANTO BUILD FROM OUR FOUNDATION

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Expectation from 2022 OSTP Memo	Current Practices To Continue	New Practices NIH Will Institute	New Practices Proposed
Peer-reviewed scholarly publications made freely available, publicly accessible in agency-designated repositories without embargo after publication	 PMC serves as repository Manuscripts submitted to PMC at time of acceptance OR Journals with agreements with NIH will submit on authors' behalf when published 	 Articles will be available post- publication in PMC as soon as processing is complete, without an embargo period 	 Develop language regarding retaining rights necessary to comply Clarify official date of publication (online vs. print)
Maximize equitable reach of public access to peer-reviewed scholarly publicationsin formats that allow for machine-readability	• PMC converts submissions to human- and machine- readable formats and allows for use of metadata	• Work with community to develop/update standards for article accessibility procedures, for submission to PMC	*Actively seeking public input and ideas*

PUBLIC ACCESS TO PUBLICATIONS OUR PLANTO BUILD FROM OUR FOUNDATION

On or by Dec 31, 2025 Revised Public Access Policy Effective

Expectation from 2022 OSTP Memo	Current Practices To Continue	New Practices NIH Will Institute	New Practices Proposed
Peer-reviewed scholarly publications made freely available, publicly accessible in agency-designated repositories without embargo after publication	 PMC serves as repository Manuscripts submitted to PMC at time of acceptance OR Journals with agreements with NIH will submit on authors' behalf when published 	 Articles will be available post- publication in PMC as soon as processing is complete, without an embargo period 	 Develop language regarding retaining rights necessary to comply Clarify official date of publication (online vs. print)
Maximize equitable reach of public access to peer-reviewed scholarly publicationsin formats that allow for machine-readability	• PMC converts submissions to human- and machine- readable formats and allows for use of metadata	• Work with community to develop/update standards for article accessibility procedures, for submission to PMC	*Actively seeking public input and ideas*
Allow researchers to include reasonable publication costs as allowable expenses in all research budgets	 GPS already allows reasonable publication costs No specific publication business model required 		• Continue to monitor trends in publication fees and policies to ensure that they remain reasonable and equitable

NEXT STEPS WE WILL SEEK COMMENT ON OUR PLAN AND FUTURE POLICIES

- Reaching out to communities (researchers, institutions, publishers)
 - RFI released with submission of Plan to OSTP/OMB on Feb 21, 2023
 - Additional opportunities for public feedback
- Coordinating through the interagency (SOS)
- To follow: draft revised Public Access policy (for comment) and final policy
 - Full policy in place by Dec 31, 2024,
 - implementation by Dec 31, 2025
- Stay tuned for PIDs and metadata...



SEEKING YOUR FEEDBACK FOR DISCUSSION WITH COGR

• RFI: NOT-OD-23-091 open until April 24, 2023:

- How can NIH help maximize equity for authors/investigators in publication opportunities?
- How can NIH help maximize equity in access and accessibility of publications?
- Ways to monitor evolving costs AND impacts on affected communities?
- Considerations to increase findability and transparency of research?
- Other topics?



NSF Perspectives on Public Access & Open Science

Martin Halbert NSF Program Director for Public Access Thursday, March 2, 2023 COGR Virtual Membership Meeting

Presentation Overview





NSF Perspectives



Next Steps



History of NSF and Federal Public Access (PA) policies **Recent** NSF Initiatives and Reports related to Open Science

Perspectives that

are Particular to Broad Range of Communities Served by NSF

Next Steps In Policy Implementation

Foundations of NSF in Open Science

- The 1945 report *Science: The Endless Frontier* by Vannevar Bush to the president led to the creation of NSF and the contemporary model of federal funding of basic research
- The concluding section of the report addressed publication of scientific information saying:
 "The frontiers of science must be thrown open so that all who have the ability to explore may advance from the farthest position which anyone has attained.... while there is a fund of new knowledge scattered among a large number of individual scientists, no one of them has access to all of it; and the broad base of scientific knowledge available to all scientists has not been correspondingly extended. This situation should be speedily corrected."

2013: White House Office of Science and Technology (OSTP) guidance on Open Science and Public Access, commonly called the "Holdren" Memo

Issued by OSTP Director John Holdren

- directed agencies to develop Public Access plans to ensure that the results of federally funded scientific research are made publicly available, including <u>peer-reviewed publications</u> and <u>digital data</u>
- allowed for a <u>1-year embargo</u> of peer-reviewed articles after publication



NSF Public Access Plan: Current Practices



Today's Data, Tomorrow's Discoveries: Increasing Access to the Results of Research Funded by the National Science Foundation (NSF 15-52)

- Published in Mar 2015, under then NSF Director France Córdova
- Published, peer-reviewed articles are uploaded and publicly accessible through the NSF PAR (Public Access Repository) as regular part of annual reporting
- AAM (author accepted manuscript) or the VOR (version of record) satisfy the public access requirement

2022: White House Office of Science and Technology (OSTP) guidance on Open Science and Public Access, commonly called the "Nelson" Memo

Issued by OSTP Acting Director Alondra Nelson

- calls for Free, Immediate, and Equitable public access
- new Public Access/Open Science plan by Feb 2023 (with policies by 2024, and implementation by 2025)
- default <u>zero-embargo</u> of peer-reviewed articles and underlying data



Recent Initiatives – NSF Program Solicitations example: 2022 FAIROS RCN Solicitation

Findable Accessible Interoperable Reusable Open Science Research Coordination Networks (FAIROS RCN)

PROGRAM SOLICITATION NSF 22-553



National Science Foundation

Directorate for Computer and Information Science and Engineering Office of Advanced Cyberinfrastructure

Directorate for Geosciences

Directorate for Social, Behavioral and Economic Sciences

Directorate for Biological Sciences

Directorate for Mathematical and Physical Sciences

Directorate for Engineering

Directorate for Education and Human Resources

Full Proposal Deadline(s) (due by 5 p.m. submitter's local time):

April 12. 2022

- Program competition funded 10 collaborative national projects comprised of 28 distinct awards
- Total of \$12.5M in awards
- RCNs are 3-year projects to advance FAIR data principles and Open Science standards and practices nationally


Home About STEM Opportunities

Open Science Announcements from Federal Agencies

Open Science is the principle and practice of making research products and processes available to all, while respecting diverse cultures, maintaining security and privacy, and fostering collaborations, reproducibility, and equity.

Federal agencies are celebrating 2023 as a Year of Open Science, a multi-agency initiative across the federal government to spark change and inspire open science engagement through events and activities that will advance adoption of open, equitable, and secure science.

Centers for Disease Control	National Institutes of Health
Department of Agriculture	National Institute of Standards and Technology
Department of Commerce	National Oceanic and Atmospheric Administration
Department of Energy	National Science Foundation
National Aeronautics and Space Administration	U.S. Geological Survey
National Endowment for the Humanities	U.S. General Services Administration



This site is your gateway to major announcements by federal agencies that support open science initiatives, programs, and events.



NSF and Open Science

2023 Year of Open Science Interagency Initiative

- Broad collaborative effort between federal agencies and other organizations to promote and advance Open Science
- Multiple interagency synergistic goals
- Various agencies undertaking aligned efforts as part of YOS this year
- For updates, see: https://open.science.gov/

Recent NSF Reports





- NSF OAC *Transforming Science Through Cyberinfrastructure* plan (2019)
- NSF Open Knowledge Network Roadmap (2022)
- NSF Public Access 2.0 Plan (2023)

NSF Perspectives

- NSF serves the broadest array of scientific disciplines of any federal agency
- As a result, NSF must address wide spectrum of research community outlooks and priorities
- This broad base of scientific communities informs NSF perspectives on Open Science



Opportunities and Priorities

- Accelerate discovery and amplify its impact.
 - continue the paradigm from research silos towards a culture valuing access to publications, data sharing, and collaboration
- Promote scientific integrity
- Ensure equity
 - weigh impact on the scientific community
 - support science and scientists



Perspectives

What we've heard from our stakeholders.... *principles and values*

Broad agreement that expanded public access, in principle, is beneficial to scientific enterprise, advances equity, and that the trend towards open research will likely continue



Scientific Communication is critical to the research ecosystem, and both advances science and supports specific communities



Researchers should have an equitable ability/right to submit research results for publication



The Cross-disciplinary scientific value of shared data should be maximized



Avoiding duplicative effort and unnecessary researcher burden is valued

Communities want to help **develop new mechanisms/ecosystems** for sharing research

What we've heard from our stakeholders.... *costs and concerns*



Equity concerns are a primary driving factor for many communities

- Over-reliance on Gold OA may disadvantage many researchers and marginalized groups
- Scholarly societies and large commercial publishers will have access to different solutions
- Shifts from subscription access to page charges may have large-scale implications and equity impacts



Shifting publication costs to research grants would **reduce funding** intended for research, development, and training



There are non-trivial technical, cultural, and economic **challenges** surrounding data sharing



Publishing and data **norms vary among disciplines**; one-size will not fit all

Timeline for Public Access Updates





Thank you for your interest and input!

To contact us, reach out to: PublicAccess@nsf.gov

Explore the NSF Public Access Initiative and funded awards: https://beta.nsf.gov/public-access

YEAR OF OPEN SCIENCE

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NASA: Committed to Open Science

National Aeronautics and Space Administration



Patricia Knezek Program Scientist, NASA Headquarters Co-chair, NSTC Subcommittee on Open Science March 2, 2023

NASA's Perspective on the 2022 OSTP Public Access Memo

- NASA strongly supports the intent of the 2022 OSTP Public Access Memo, *Ensuring Free, Immediate, and Equitable Access to Federally Funded Research*
- Promoting the full and open sharing of scientific research results with research communities, private industry, academia, and the general public is one of NASA's long-standing core values.







NASA's Approach: Open Science Core Values

- Openness is fundamental, security is essential, and freedom and integrity are crucial
- Increase the accessibility, inclusion, and reproducibility of NASA scientific activities
- When possible, minimize the burden both within NASA and for our research communities
- NASA's Office of the Chief Scientist (OCS) is leading an Agency-wide update to the 2014 NASA plan. Membership includes representation from: Office of the Chief Scientist (Lead), Science Mission Directorate, Office of the Chief Information Officer, Office of the General Counsel, Office of the Chief Engineer, Office of Technology, Policy & Strategy, Space Technology Mission Directorate, Exploration Systems Development Mission Directorate, Space Operations Mission Directorate, Aeronautics Research Mission Directorate
- The draft updated Public Access Plan was submitted to OSTP for review on Feb. 21, 2023



(i)



NASA's Office of the Chief Scientist (OCS)

Agency-wide group efforts to date:

- Reviewed NASA Open Access Policy NPD 2230.1 Research Data and Publication Access no changes were needed to be compliant with the new OSTP memo of 2022
- Revised NASA's 2014 Open Access Plan for consistency with the OSTP 2022 memo
- Submitted draft revision on Feb. 21, 2023 to OSTP for review
- Significant changes to be expected:
 - Removing requirement for a one year embargo on publications
 - Software (s/w) guidance for the process for releasing and maintaining s/w (consistent with multiple existing NASA policy documents covering s/w)
 - Encouraging sharing of data that goes beyond a publication



(c) (i)





NPD = NASA Policy Directive; SMD = NASA's Science Mission Directorate; SPD = SMD Policy Document

51



(i) (c)





NASA's Science Mission Directorate (SMD): Open Source Science

- In August 2021 SMD released the "SMD Scientific Information Policy" (SPD-41), which brings together and NASA and federal policy, <u>https://go.usa.gov/xtNTJ</u>
 - Aligned with NPD 2330.1
- In November 2021, a draft updated version, SPD-41a was released with proposed additions.
 - An RFI* was released to the community and closed on March 4, 2022
 - SPD-41a was revised to address community input and released in Dec. 2022, <u>https://science.nasa.gov/science-red/s3fs-public/atoms/files/SMD-information-policy-SPD-41a.pdf</u>
 - SPD-41a is consistent with the OSTP Public Access memo
 - Expect proposers to include open science costs in proposal budgets
- *RFI = Request for Information



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Key Elements Addressed in DOE Public Access Plan

Carly Robinson, Ph.D. Assistant Director for Information Products and Services Office of Scientific and Technical Information Department of Energy

> **COGR Membership Meeting** March 2, 2023



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Public Access History

- DOE's Office of Scientific and Technical Information (OSTI) was created 75 years ago to make DOE research publicly available – public access to research is our mission
- 2013 OSTP Memo <u>Increasing Access to</u> <u>the Results of Federally Funded Scientific</u> <u>Research</u>
 - Publications: provide free public access to accepted manuscripts within12-month of publication
 - Data: address data management though projects needing data management plans (DMPs)

EXECUTIVE OFFICE OF THE PRESIDENT OFFICE OF SCIENCE AND TECHNOLOGY POLICY WASHINGTON, D.C. 20502

February 22, 2013

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: John P. Holdren

SUBJECT: Increasing Access to the Results of Federally Funded Scientific Research

1. Policy Principles

The Administration is committed to ensuring that, to the greatest extent and with the fewest constraints possible and consistent with law and the objectives set out below, the direct results of federally funded scientific research are made available to and useful for the public, industry, and the scientific community. Such results include peer-reviewed publications and digital data.

Scientific research supported by the Federal Government catalyzes innovative breakthroughs that drive our economy. The results of that research become the grist for new insights and are assets for progress in areas such as health, energy, the environment, agriculture, and national security.

Access to digital data sets resulting from federally funded research allows companies to focus resources and efforts on understanding and exploiting discoveries. For example, open weather data underpins the forecasting industry, and making genome sequences publicly available has spawned many biotechnology innovations. In addition, wider availability of peer-reviewed publications and scientific data in digital formats will create innovative economic markets for services related to curation, preservation, analysis, and visualization. Policies that mobilize these publications and data for re-use through preservation and broader public access also maximize the impact and accountability of the Federal research investment. These policies will accelerate scientific breakthroughs and innovation, promote entrepreneurship, and enhance economic growth and job creation.

The Administration also recognizes that publishers provide valuable services, including the coordination of peer review, that are essential for ensuring the high quality and integrity of many scholarly publications. It is critical that these services continue to be made available. It is also important that Federal policy not adversely affect opportunities for researchers who are not funded by the Federal Government to disseminate any analysis or results of their research.

To achieve the Administration's commitment to increase access to federally funded published research and digital scientific data, Federal agencies investing in research and development must have clear and coordinated policies for increasing such access.



Office of Science

2014 Public Access Plan Implementation

DOE Public Access Plan released June 2014 DOE Secretary issued internal memo, "Public Access to the Results of DOE-Funded Scientific Research," to heads of departmental elements, laboratory directors, and technology center directors

OSTI implemented the publication aspects of the DOE Public Access Plan Require submission of journal article accepted manuscript (or OA article) and metadata; support green approach to PA DOE PAGES is the agency publications repository Provide public access within 12 months of publication

Office of Science implemented data aspects of the DOE Public Access Plan

Office of Science

DMP Policy addresses data associated with publications DMP Policy addresses other data created with DOE funding Data management is an allowable cost within funding requests



Public Access Progress

~175,000 scholarly publications made publicly accessible via DOE PAGES

Submission of accepted manuscripts continues to increase each year DOE publication compliance rate (with publishing partners) is ~75%

> Lead US Government ORCID Consortium

DOE funding offices are implementing the policy requiring DMPs associated with funding

Assigned over 197,000 DOIs to DOE-funded data outputs

Provide an Award DOI Service for DOE organizations that want DOIs assigned to their awards Office of Science has developed additional guidance for DMP reviewers and DOE is working on DMP toolkits

Since 2014, all Office of Science proposals have included DMP that has been peerreviewed

Launched <u>PIDs@OSTI.GOV</u> site to share the services and support DOE

provides for PIDs





2022 OSTP Public Access Memo

- August 25th, 2022, Memo to Heads of Departments and Agencies – <u>Ensuring</u> <u>Free, Immediate, and Equitable Access</u> <u>to Federally Funded Research</u>
- Building on 2013 OSTP, 2022 memo defines requirements for:
 - 1) Scholarly publications
 - 2) Scientific data
 - 3) Persistent identifiers (PIDs)

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EXECUTIVE OFFICE OF THE PRESIDENT OFFICE OF SCIENCE AND TECHNOLOGY POLICY WASHINGTON, D.C. 20502

August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Dr. Alondra Nelson Deputy Assistant to the President and Deputy Director for Science and Society Performing the Duties of Director Office of Science and Technology Policy (OSTP)

SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

This memorandum provides policy guidance to federal agencies with research and development expenditures on updating their public access policies. In accordance with this memorandum, OSTP recommends that federal agencies, to the extent consistent with applicable law:

- Update their public access policies as soon as possible, and no later than December 31st, 2025, to make publications and their supporting data resulting from federally funded research publicly accessible <u>without an embargo on their free and public release</u>;
- Establish transparent procedures that ensure scientific and research integrity is maintained in public access policies; and,
- Coordinate with OSTP to ensure equitable delivery of federally funded research results and data.

1. Background and Policy Principles

Since February 2013, federal public access policy has been guided by the *Memorandum on Increasing Access to the Results of Federally Funded Research* (2013 Memorandum).¹ Issued by the White House Office of Science and Technology Policy (OSTP), the 2013 Memorandum directed all federal departments and agencies (agencies) with more than \$100 million in annual research and development expenditures to develop a plan to support increased public access to the results of federally funded research, with specific focus on access to scholarly publications and digital data resulting from such research.

Nearly ten years later, every federal agency subject to the 2013 Memorandum has developed and implemented a public access policy in accordance with its guidance.² As a result, the American public has experienced great benefits: more than 8 million scholarly publications have become accessible to the public. Over 3 million people read these articles for free every day. The 2013 federal public access policy set the stage for a paradigm shift away from research silos and





Scholarly Publications

- Plan will address immediate access to scholarly publications upon their publication.
- Plan will designate an agency repository for peer-reviewed scholarly publications.
- Plan will address mechanisms researchers will use to provide metadata and peer-reviewed publications to DOE.
- Plan will address appropriate re-use rights to scholarly publications under existing copyright law.





Scientific Data

- Plan will update DOE data management principles and Data Management Plan (DMP) requirements to reflect new OSTP Memo guidance.
- Plan will address making data associated with publications, and other data created with DOE funding, publicly available.
- Plan will allow for flexibility to enable DOE sponsoring research offices to apply requirements in a manner aligned with their mission.
- Plan will address review and evaluation of DMPs and associated budget for implementation.





Persistent Identifiers

- Plan will address mechanisms and systems that will be used to collect and make publicly available publication and data records with associated metadata.
- Plan will address assigning, collecting, and associating PIDs for authors, organizations, awards, and research outputs.
- Plan will address instructing researchers to obtain PIDs for themselves.
- Plan will acknowledge need to assign PIDs to all R&D awards.





Next Steps

- DOE Public Access Plan is moving through DOE concurrence process.
- OSTP and OMB are reviewing the Plan.
- DOE will post the Plan on energy.gov and conduct outreach/communications with DOE communities.
- Feedback from those communities will be incorporated into DOE policy development.
- DOE will revise existing and/or develop new policies and guidance for plan implementation in accordance with timeframes expressed in the OSTP memo.
- DOE will share new/updated policies in advance and socialize with communities before implementation dates.
- Plan update by December 2024 to address PIDs for awards.





Thank you

Questions?



