

# **Research Funder Open Access Requirements -- From DOE and Other Federal Agencies**

How you can help support MIT researchers  
in complying with the White House  
Directive of 2013

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# White House Directive of 2013



Office of Science

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## Expanding Public Access to Federally Funded Research

Posted by Michael Stebbins on February 22, 2013 at 12:04 PM



The Obama Administration is committed to the proposition that citizens deserve easy access to the results of scientific research their tax dollars have paid for. That's why, in a policy memorandum released today, Deputy Chief of Staff and Director of Science and Technology Policy, Michael Stebbins, and Deputy Assistant Secretary for Science and Technology Policy, Catherine Holdren, has directed Federal agencies with more than \$100M in R&D expenditures to develop plans to make the published results of federally funded research freely available to the public within one year of publication and requiring researchers to better account for and manage the digital data resulting from federally funded scientific research. OSTP has been looking into this issue for some time, soliciting broad public input on multiple occasions and convening an interagency working group to develop a policy. The final policy reflects substantial inputs from scientists and scientific organizations, publishers, members of Congress, and other members of the public—over 65 thousand of whom recently signed a *We the People* petition asking for expanded public access to the results of taxpayer-funded research.

“The Obama Administration is committed to the proposition that citizens deserve easy access to the results of scientific research their tax dollars have paid for.”

# Extends Existing Federal Research Funder Open Access Requirements

- NIH Public Access Policy
  - Manuscripts: within 12 months, shared via PubMedCentral (since 2008)
  - Data: grants over \$500K must include data sharing plan (c.2003)
- Natl. Center for Atmospheric Research
  - Publications must be openly available via NCAR
- Howard Hughes Medical Institute (HHMI)
  - Requires publication in journals that allow articles to be freely accessible in a public repository within 12 months (since 2007)



# Other Data Sharing Requirements

## Funders:

- National Science Foundation (NSF)
- National Endowment for the Humanities (NEH)
- Alfred P. Sloan Foundation
- And more...

## Publishers:

- Many journals have policies requiring open access to the data underlying a publication.
- Motivation: publishers want to ensure replication and verification of published research.



# White House Directive

- Emerged from “We the people” petition to Obama administration
  - Issued Feb 2013, Office of Science & Technology Policy
- Requires open access to data and publications, for research funded by US government
  - ~ 24 agencies, those which fund >\$100M R&D /year
- Implementation plans were due by August 2013; are being issued as they are approved



# Publications: General Requirements

- Agencies over \$100M annually in R&D required to make peer-reviewed manuscripts available within 12 months.
- Implementation underway
  - Timetable varies by agency (first agency, DOE, has requirement as of October 1, 2014)
  - Publications must be available within 12m (with some room for publishers to request longer periods)
  - Must offer long-term preservation and access without charge
  - Articles must be analyzable in digital form
  - Repositories interoperable with PubMedCentral and similar archives
  - Specific repository not specified

# Major Funder Requirements Tracked on Libraries Web Page

## Research Funder Open Access Requirements

The table below summarizes major US Research funder open access requirements for publications and data, and links to information on related journal requirements.

If you have questions please contact [Ellen Finnie Duranceau](#), Program Manager, Scholarly Publishing, Copyright, and Licensing (for publications) or [data-management@mit.edu](mailto:data-management@mit.edu) (for data).

Agency	Publications	Data
<a href="#">White House Office of Science and Technology Policy Directive</a>  Office of Science & Technology Policy	All federal agencies over \$100M annually in R&D required to make peer-reviewed manuscripts available within 12 months.  2013, with implementation beginning October 2014 and timetable varying by agency.  <a href="#">View the Directive</a>	All federal agencies over \$100M annually in R&D required to make data stored and publicly accessible to search, retrieve, and analyze.  Scope: data necessary to validate research findings, including data sets used to support scholarly publications. (Lab notebooks not included)
DOE  US Department of Energy	<a href="#">Public Access Policy</a> October 1, 2014  Accepted manuscripts must be submitted to an open access repository, such as DOE's new <a href="#">PAGES</a> service, or <a href="#">DSpace@MIT</a> .  Information about publications must also be submitted to DOE.	<a href="#">Public Access Policy</a>  October 1, 2014 for <a href="#">Office of Science requirements</a> .  Other DOE offices by end of 2015.  Proposals must include a Data Management Plan outlining how the data generated in research will be shared and preserved.
<a href="#">HHMI</a>  Howard Hughes Medical Institute	2007  Requires publication in journals that allow articles to be freely accessible in a public repository within 12 months.	Policy includes supplementary materials
<a href="#">IES</a>  US Department of Education, Institute of Education Sciences	<a href="#">Policy Regarding Public Access to Research</a>  2012	n/a

<http://libraries.mit.edu/scholarly/publishing/research-funders/research-funder-open-access-requirements/>

# First Agency to Issue Plan: DOE

## New Requirements for DOE-funded Researchers: Public Access to Data and Publications

Posted August 18th, 2014 by Ellen Duranceau

In response to the 2013 [Memorandum](#) from the White House Office of Science and Technology Policy, "Expanding Public Access to the Results of Federally Funded Research," the Department of Energy (DOE) has issued a [Public Access Plan](#). The DOE is the first agency to release its open access plan in response to this directive, which applies to the largest federal agencies.

The aim of the directive is to ensure that "the direct results of federally funded scientific research are made available to and useful for the public, industry, and the scientific community."



### Publications

Under the DOE plan, researchers will be required to submit accepted manuscripts of publications that report on DOE-supported research to an open access repository such as [DSpace@MIT](#). Researchers will also need to submit information about their publications to the [DOE's Office of Scientific and Technical Information](#). DOE will begin to include these requirements in award agreements as of **October 1, 2014**.

### Data

# Specific DOE Requirements: Publications

- [DOE Public Access Policy](#)
  - Requirements written into award agreements as of 10/1/14
- Accepted manuscripts must be submitted to an open access repository
  - DOE's new [PAGES](#) service or
  - [DSpace@MIT](#) or
  - Other open access repository
  - Nonproprietary full-text format (e.g. PDF/A) required – not clear if author must supply or DOE will convert
- Information *about* publications must also be submitted to [DOE's Office of Scientific and Technical Information](#).
  - Citation, link, etc. (details emerging)
  - Some ambiguity about timing; flexibility in first year
  - Will require common/standard metadata format (details emerging)
- Test period through 8/2015
  - Will socialize author submission requirements
  - Opportunity to provide input/feedback

# DOE Publications: Repository Requirements

- Some publishers offering access to *final published version* via “CHORUS”
- Not sufficient to meet DOE requirements
  - *Manuscript* must be in open access repository
    - Author provides link to ms in a repository - or ms itself
    - Unclear if publishers will provide service of supplying ms
  - Copy must be in DOE’s “PAGES” repository / portal
    - DOE will copy from/link to another repository if author provides link
  - DOE will link to CHORUS
    - Ms. will remain hidden if the final published article openly available via CHORUS (or directly at publisher’s site)  $\leq$  12m after publication

# DOE Publications: Libraries Services

- Manuscripts:
  - [Dspace@MIT](#) – compatible repository for deposit
- Metadata:
  - Considering possible service
  - Potentially provide metadata and link to the DOE when the author supplies a paper to DSpace@MIT
    - *would like input on need*
- [MIT Amendment to publication agreements](#)
  - Ensures retention of sufficient rights to meet WH directive requirements



# Specific DOE Requirements: Data

- Proposals must include a Data Management Plan (DMP) outlining how the data generated in research will be shared and preserved.
- Effective:
  - October 1, 2014 for the DOE's Office of Science
  - October 1, 2015 for other DOE offices
- Outline plan for making research data underlying publications open and accessible to the public.
- How will data be generated and shared? If not shared, then why?
- Describe how data sharing and preservation will enable validation of results.



# Researcher Challenges

- Effectively managing, storing, documenting, and sharing data generated in research, for both:
  - their own projects during the active phase of research
  - public use once the project concludes.
- Becoming aware of, and understanding:
  - public access requirements
  - Institute services that are available to support compliance.
- Integrating optimal data management practices into research workflows.



# Data Management: Libraries Services

- Help PIs create a data management plan or with any aspect of complying with funder data requirements.
- Support researchers to both manage data during the project and choose and deposit data in a repository for public access.
- Help meet journal data sharing requirements.
- To learn more, see the [Libraries' Data Management website](#).



# MIT Researcher Perspective

“By working together, MIT and the DLCs can probably minimize many of the negative impacts by taking advantage of scale, sharing the burdens and sharing ideas.”

*--Martin Greenwald, Plasma Physicist, Assoc. Dir., Plasma Science & Fusion Center, comment at IAP session on DOE requirements*

# Resources

- For publications: [Ellen Duranceau](mailto:efinnie@mit.edu):  
efinnie@mit.edu
  - Program Manager, [Scholarly Publishing, Copyright & Licensing](#)
- For data: Libraries' data management team:
  - [data-management@mit.edu](mailto:data-management@mit.edu)
  - [data management services](#) website
- [Libraries' Table of major funder requirements](#)
- [White House OSTP Policy memorandum](#)
  - [Blog post from White House on Directive](#)
- [Libraries' Blog post on DOE requirements](#)



# Discussion Questions

- Questions?
- How are you involved in:
  - grant planning
  - grant compliance
  - and/or publishing activities?
- How best can we support PIs in complying with these requirements? What kinds of services would be useful?
- What can we do to help PIs be aware of the services that we provide?
- Available to provide feedback in the future?  
Please leave your name.