Community Forum on the 2022 OSTP Public Access Policy Guidance

7 November 2022

White House Office of Science and Technology Policy

Agenda

- **Welcome**

- **Public access background and context**
  Dr. Alondra Nelson

- **Overview of the 2022 OSTP Memorandum**
  Dr. Christopher Marcum

- **Agency perspectives**
  National Aeronautics and Space Administration, Dr. Pat Knezek
  National Institutes of Health, Dr. Jessica Tucker
  Institute of Museum and Library Services, Nancy Weiss, JD and Anthony Smith, MLIS

- **Questions and answers**

- **Closing**

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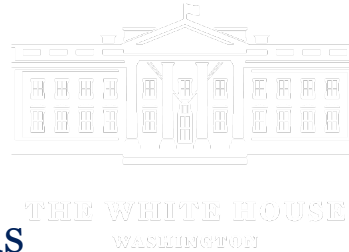
Outline

- Summary of the 2022 OSTP Memorandum

- Clarification about the scope of the 2022 Memorandum

- Timeline for agency adoption of the 2022 Memorandum

Background

- The 2022 memorandum has 7 sections
  1. Background and Policy Principles
  2. Learning from the Lessons of COVID-19
  3. Updates to Policy Guidance on Increasing Equitable Access to Federally Funded Research Results
  4. Ensuring Scientific and Research Integrity in Agency Public Access Policies
  5. Public Access Plan Coordination Among Federal Agencies
  6. General Provisions
  7. Taking Next Steps Together

What is the new policy guidance?

- The new OSTP guidance titled *Ensuring Free, Immediate, and Equitable Access to Federally Funded Research,* was issued in a memorandum from Dr. Alondra Nelson to agency and department heads on August 25th, 2022

- In her memo, Dr. Nelson affirms that:
  "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 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 is the new policy guidance?

- Section 3: Scholarly publications
  - To be made freely available and publicly accessible by default in **agency-designated repositories** without any embargo or delay after publication
  - Such scholarly publications **always include** peer-reviewed research articles or final manuscripts published in scholarly journals, and **may include** peer-reviewed book chapters, editorials, and peer-reviewed conference proceedings published in other scholarly outlets that result from federally funded research.
  - Agencies determine:
    - How peer-reviewed scholarly publications should be made publicly accessible;
    - How to maximize equitable reach of public access to peer-reviewed scholarly publications, including by providing free online access to peer-reviewed scholarly publications in formats that allow for machine-readability and enabling broad accessibility through assistive devices; and,
    - The circumstances or prerequisites needed to make the publications freely and publicly available by default, including any use and re-use rights, and which restrictions, including attribution, may apply.

What is the new policy guidance?

- Section 3: Scientific data
    - Scientific data **underlying peer-reviewed** scholarly publications resulting from federally funded research should be made freely available and publicly accessible by default at the time of publication
    - Sharing other federally funded **scientific data that are not associated with peer-reviewed** scholarly publications is also provided for in the memo.
    - Agencies determine:
        - Guidance to their research communities on data repositories;
        - Timelines and approaches appropriate for data sharing; and,
        - Details describing any potential legal, privacy, ethical, technical, intellectual property, or security limitations, 10 and/or any other potential restrictions or limitations on data access, use, and disclosure, including those defined in terms and conditions of funding agreement or award or that convey from a data use agreement or stipulations of an Institutional Review Board

What is the new policy guidance?

- Section 4: Research integrity and scientific integrity
  - The public should be able to identify which federal agencies support given investments in science, the scientists who conduct that research, and the extent to which peer-review was conducted.
  - The whole research life-cycle applies: from grants and protocols, to researchers, to research outputs.
  - Agencies determine:
    - How, and what, to collect and share for appropriate metadata associated with research outputs;
    - Which persistent identifiers are appropriate for their researchers consistent with NSPM-33; and,
    - Assignment of unique digital persistent identifiers to awards and protocols.

What is the new policy guidance?

- Section 5: 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 (SOS) was chartered to facilitate such coordination between federal science agencies in conjunction with OSTP.
  - Examples of tasks for the SOS in the memo:
    - coordinate between federal science agencies to enhance efficiency and reduce redundancy in public access plans and policies, including as it relates to digital repository access
    - consider measures to reduce inequities in publishing of, and access to, federally funded research and data, especially among individuals from underserved backgrounds and those who are early in their careers; and,
    - develop procedures and practices to reduce the burden on federally funded researchers in complying with public access requirements.
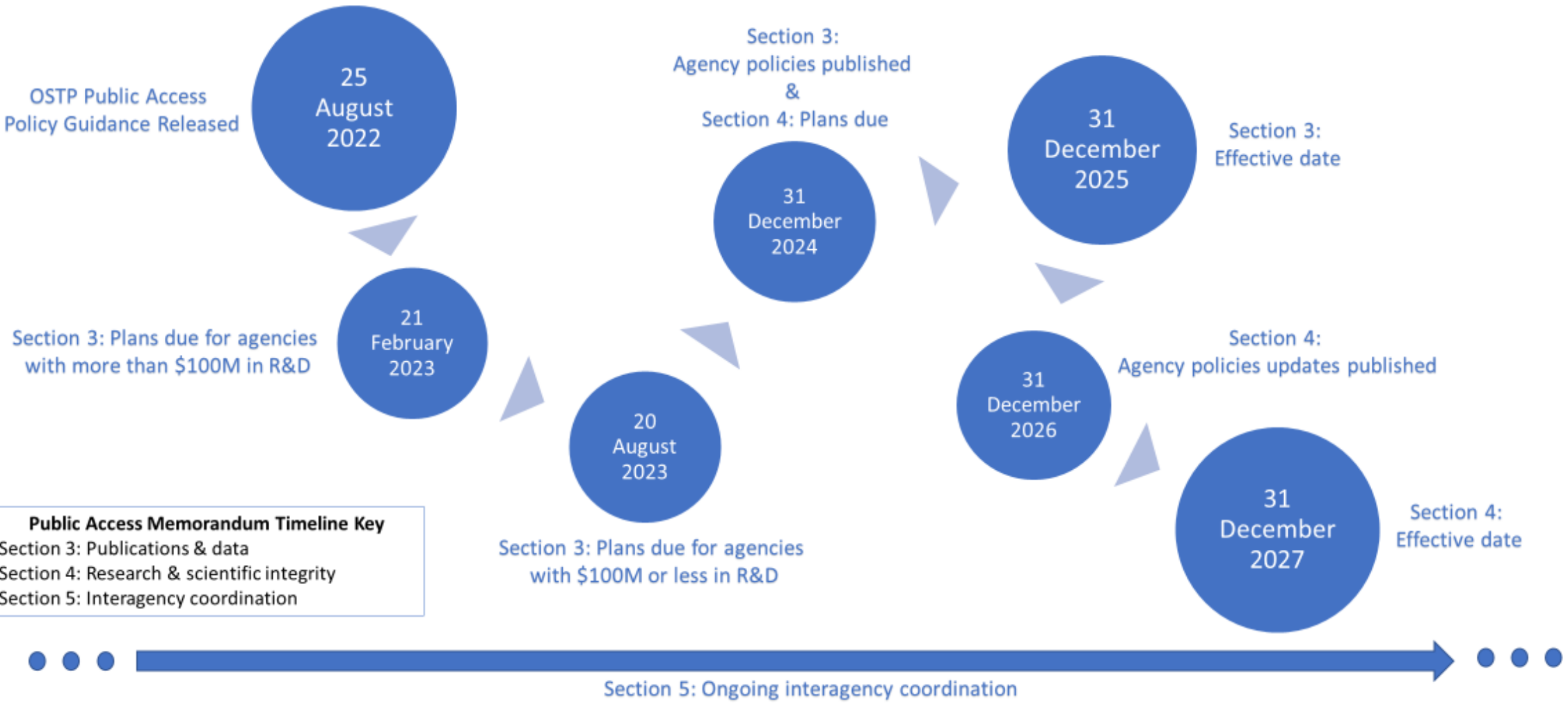
What new policy guidance is not:

- A mandate for *Open Access or any other specific publication model*

- A replacement of every provision of the 2013 OSTP Memorandum (Section 6)

- A requirement to share protected information and data (Section 6)

Timeline for 2022 OSTP Public Access Policy Guidance

Thank you

(Now for Agency Perspectives)

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.

OSTP/Holdren Memo

Expanding Public Access to the Results of Federally Funded Research

NPD 2230.1 Research Data and Publication Access

Basic policy for the implementation of processes to ensure public access to scientific peer-reviewed publications and data sets

SMD Strategy for Data Management and Computing for Groundbreaking (SDMCG) Science

Advances the management and computation capabilities to support groundbreaking science at NASA

NASA SMD Open-source Science Initiative and Transform to Open Science (TOPS) mission

Advance open science policies, cyberinfrastructure, tools, and communities

Updated SMD Scientific Information Policy ~Nov 22 (SPD-41a)

Updates to the 2021 policy, aligns with requirements of 2022 OSTP/Nelson memo

2014

2021

2023

2013

2016

2019

2022

NASA Plan for Increasing Access to the Results of Scientific Research

Expanded the breadth of NASA's open-access culture to include data and publications for all of the scientific research that the Agency sponsors

SMD Scientific Information Policy (SPD-41)

Policy was created based on recommendations from SMD's 2019 SDMCG and is based on existing Government directives and NASA and SMD policies https://go.usa.gov/xtNTJ

NASA's Year of Open Science

OSTP/Nelson Memo ~ Aug 22

No embargo period for federally funded research publications

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

NASA's Approach: Open Science Core Values

- As open as possible, as restricted as necessary, always secure
- 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, Exploration Systems Development Mission Directorate, Aeronautics Research Mission Directorate

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
- Revising NASA's 2014 Open Access Plan for consistency with the OSTP 2022 memo
  - Goal: completed revision / draft by December 2022 for review and approvals
  - 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

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, **https://go.usa.gov/xtNTJ**

  - Aligned with NPD 2330.1

- In November 2021, a draft updated version, SPD-41a was released with proposed additions.
  - A RFI* was released to the community and closed on **March 4, 2022**
  - SPD-41a was revised to address the community input and will be released soon
  - SPD-41a will be consistent with the OSTP Public Access memo
  - Expect proposers to include open science costs in proposal budgets

*RFI = Request for Information
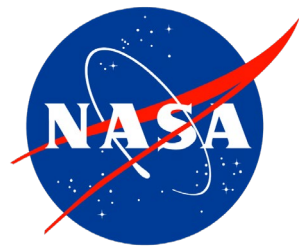
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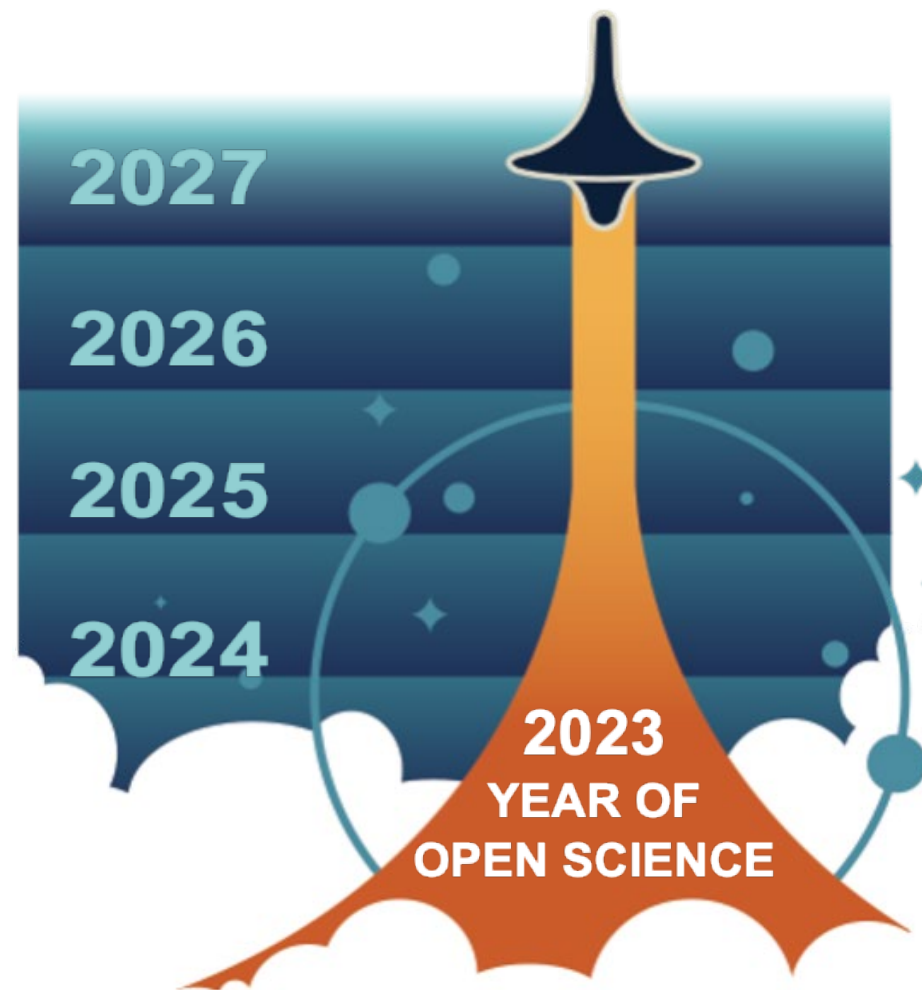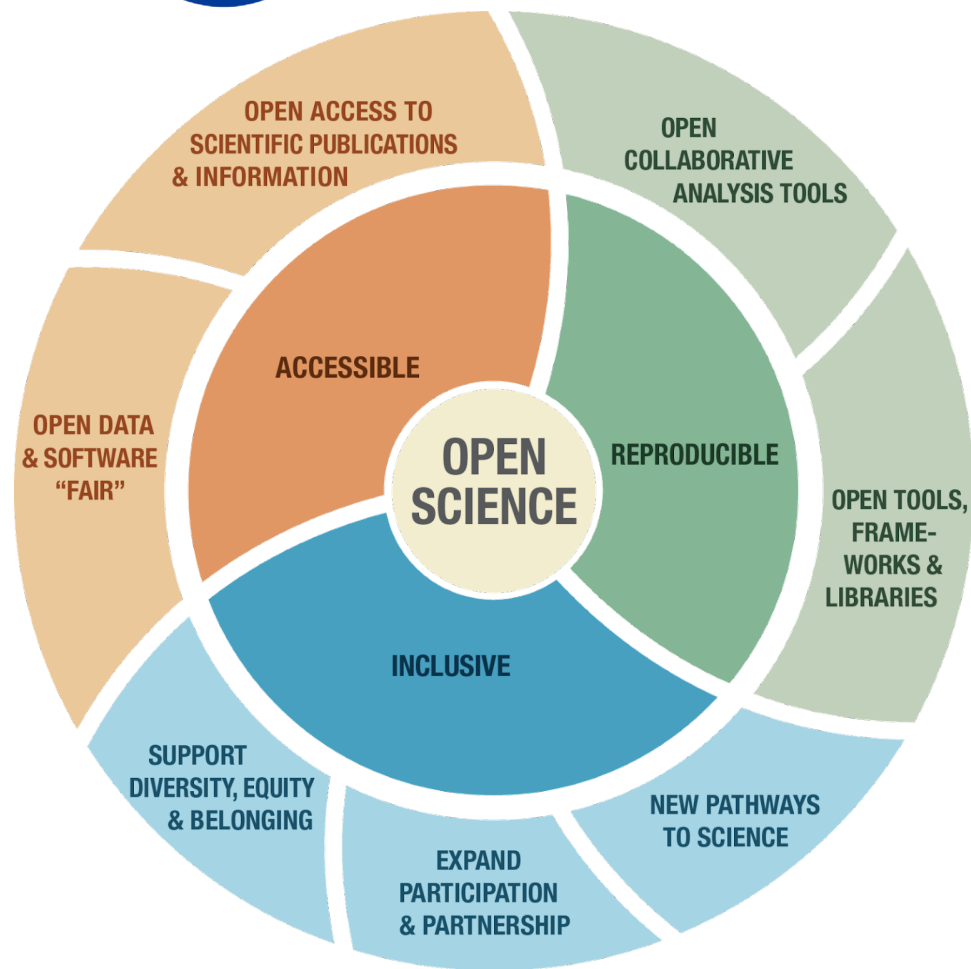
MAXIMIZING THE VALUE OF DATA

Scientific data are the catalyst for breakthroughs and discoveries

Integrated policies, resources, and infrastructure are key to responsible sharing and reuse

NIH aims to promote effective data sharing as the rule, not the exception

SUPPORT FOR OSTP MEMO

August 25, 2022

Statement on NIH plans to speed access to federally funded research results

Today, the White House Office of Science and Technology Policy (OSTP) issued updated policy guidance directing federal agencies to expedite access to results of federally funded research. NIH has long championed principles of transparency and accessibility in NIH-funded research and supports this important step by the Biden Administration.

Over the coming months, NIH will work expeditiously to develop and share its plans for implementing the OSTP policy guidance. NIH intends to work with interagency partners and stakeholders to revise its current Public Access Policy to enable researchers, clinicians, students, and the public to access NIH research results immediately upon publication. I am pleased to report that NIH's efforts to maximize access to scientific data are already underway through implementation of the new NIH Policy for Data Management and Sharing (DMS Policy), which takes effect on January 25, 2023. Through the DMS Policy, NIH clearly articulates that sharing scientific data is fundamental to accelerating biomedical research discovery. Our DMS Policy implementation efforts continue, and I encourage you to visit sharing.nih.gov for the latest updates and resources that NIH has developed to support our community of researchers and institutions.

We are enthusiastic to move forward on these important efforts to make research results more accessible and look forward to working together to strengthen our shared responsibility in making federally funded research results accessible to the public.

Resources:

- OSTP Updates to Policy Guidance on Increasing Equitable Access to Federally Funded Research Results
- NIH Public Access Policy
- NIH Policy for Data Management and Sharing
- Sharing.nih.gov
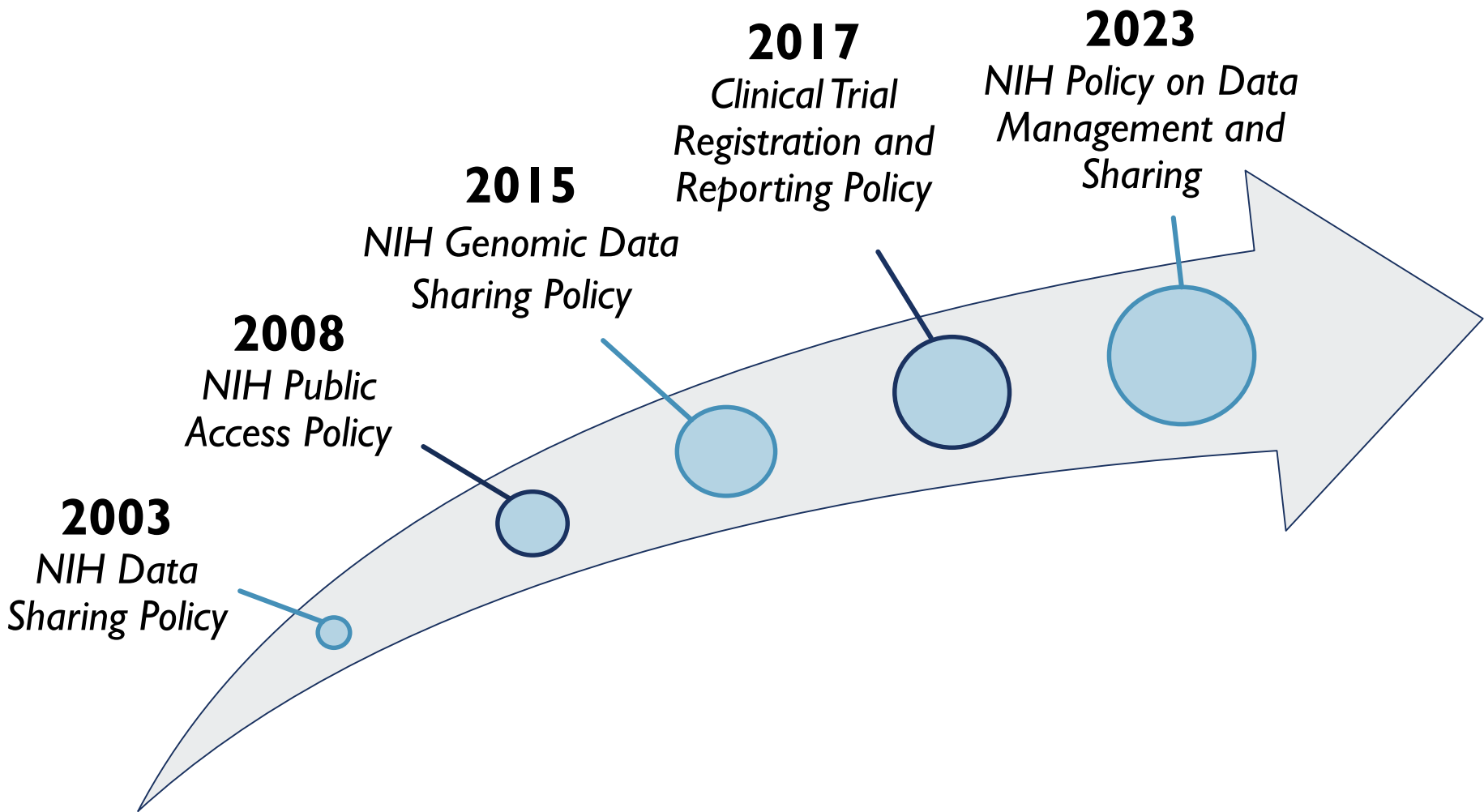
Lawrence A. Tabak, D.D.S., Ph.D.
Performing the Duties of the NIH Director

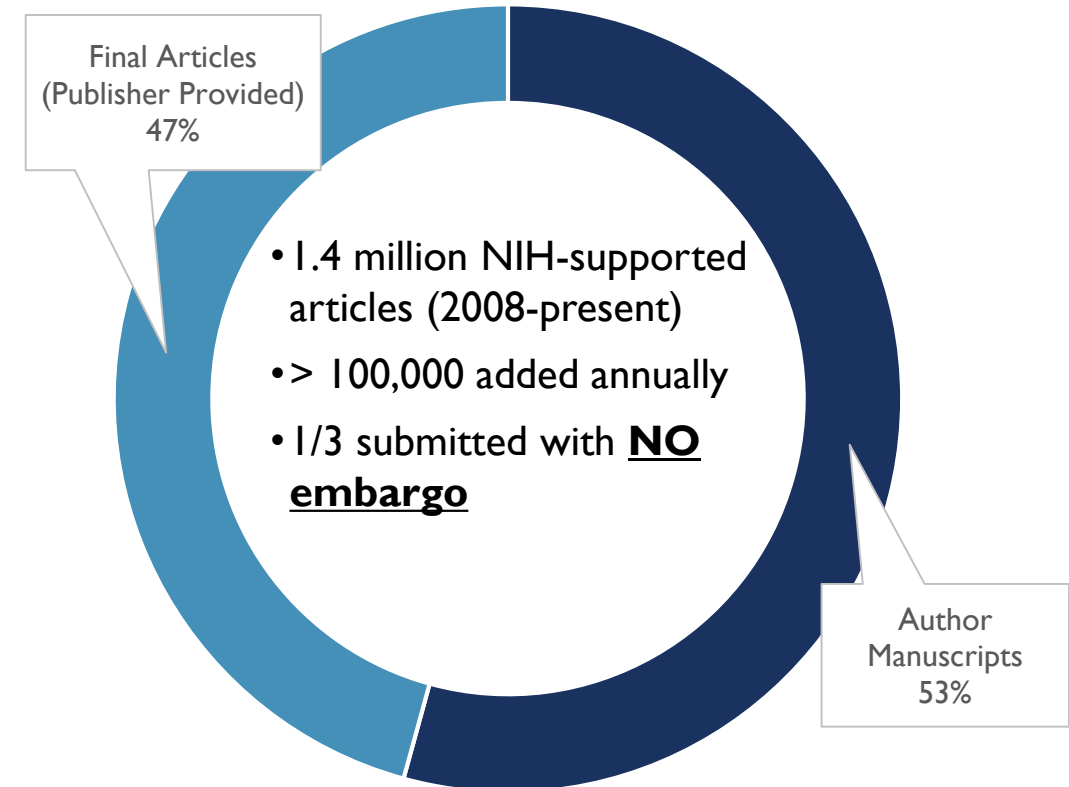> *NIH has long championed principles of transparency and accessibility in NIH-funded research and supports this important step by the Biden Administration*

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

NIH-Supported Articles in PMC

Final Articles
(Publisher Provided)
47%

- 1.4 million NIH-supported articles (2008-present)
- > 100,000 added annually
- 1/3 submitted with **NO embargo**

Author
Manuscripts
53%

NIH POLICY FOR DATA MANAGEMENT & SHARING

- TWO BASIC REQUIREMENTS
  - Submission of a Data Management & Sharing "Plan" for all NIH-funded research
  - Compliance with the NIH-approved Plan
- Effective January 25, 2023 *(replaces 2003 Data Sharing Policy)*
- Numerous guidance resources available: *sharing.nih.gov*

NIH HAS MECHANISMS AND INFRASTRUCTURE IN PLACE

2022 OSTP Memo

Current approach, resources

- Federally funded publications freely available, publicly accessible <u>without embargo</u>

Public Access Policy
(2008; to be revised)

PMC PubMed Central®

- Scientific data underlying publications accessible at time of publication
- Approaches for sharing all scientific data
- Policies to establish researcher responsibilities on data management and sharing of research results (including PIDs)

Policy on Data Management and Sharing
(2023; meets expectations of OSTP Memo)

NIH SCIENTIFIC DATA SHARING
sharing.nih.gov

BUILDING FROM A STRONG FOUNDATION
PLAN TO MEET OSTP MEMO'S EXPECTATIONS

2023
NIH Policy on Data Management and Sharing

2017
Clinical Trial Registration and Reporting Policy

2015
NIH Genomic Data Sharing Policy

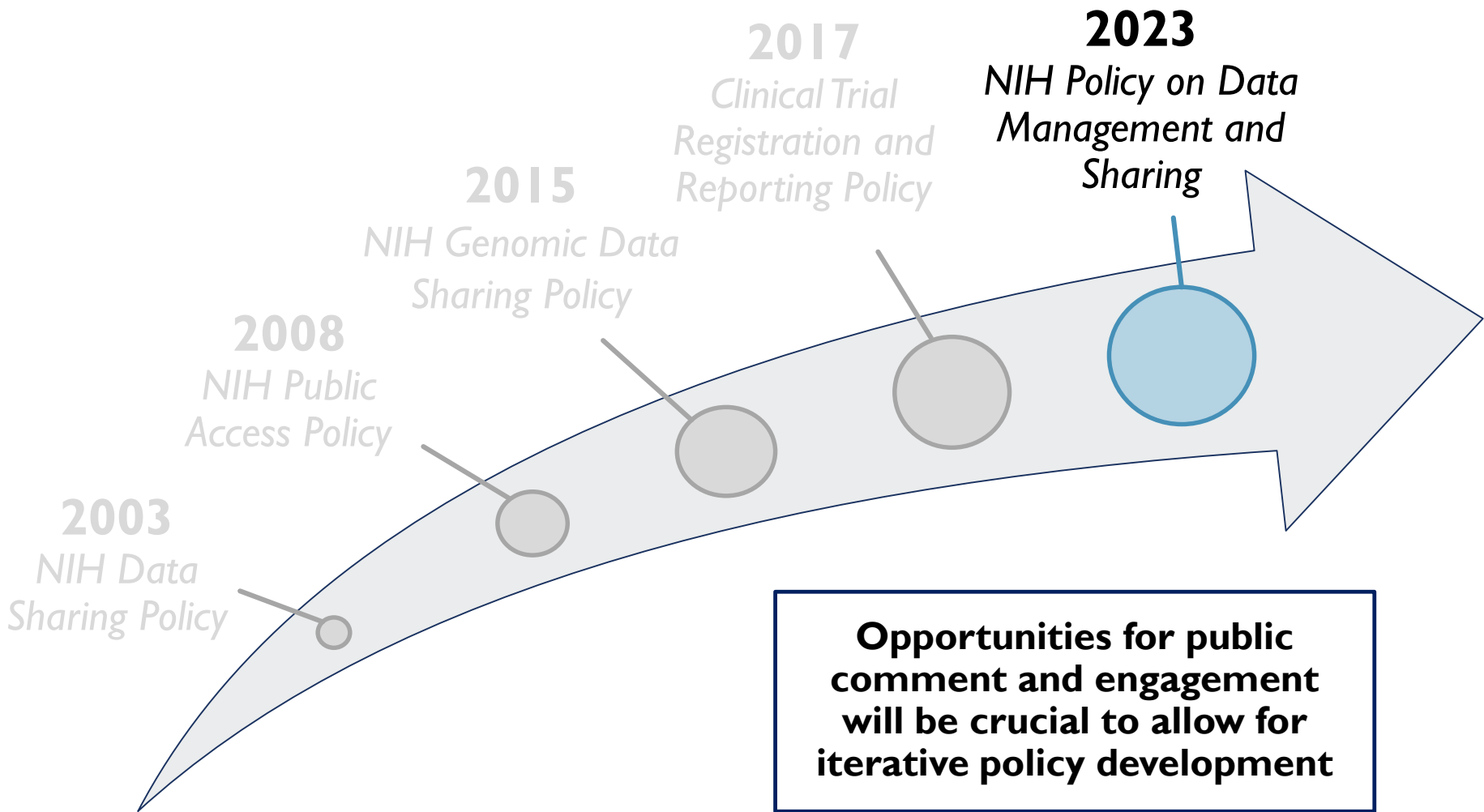**2008**
NIH Public Access Policy

2003
NIH Data Sharing Policy
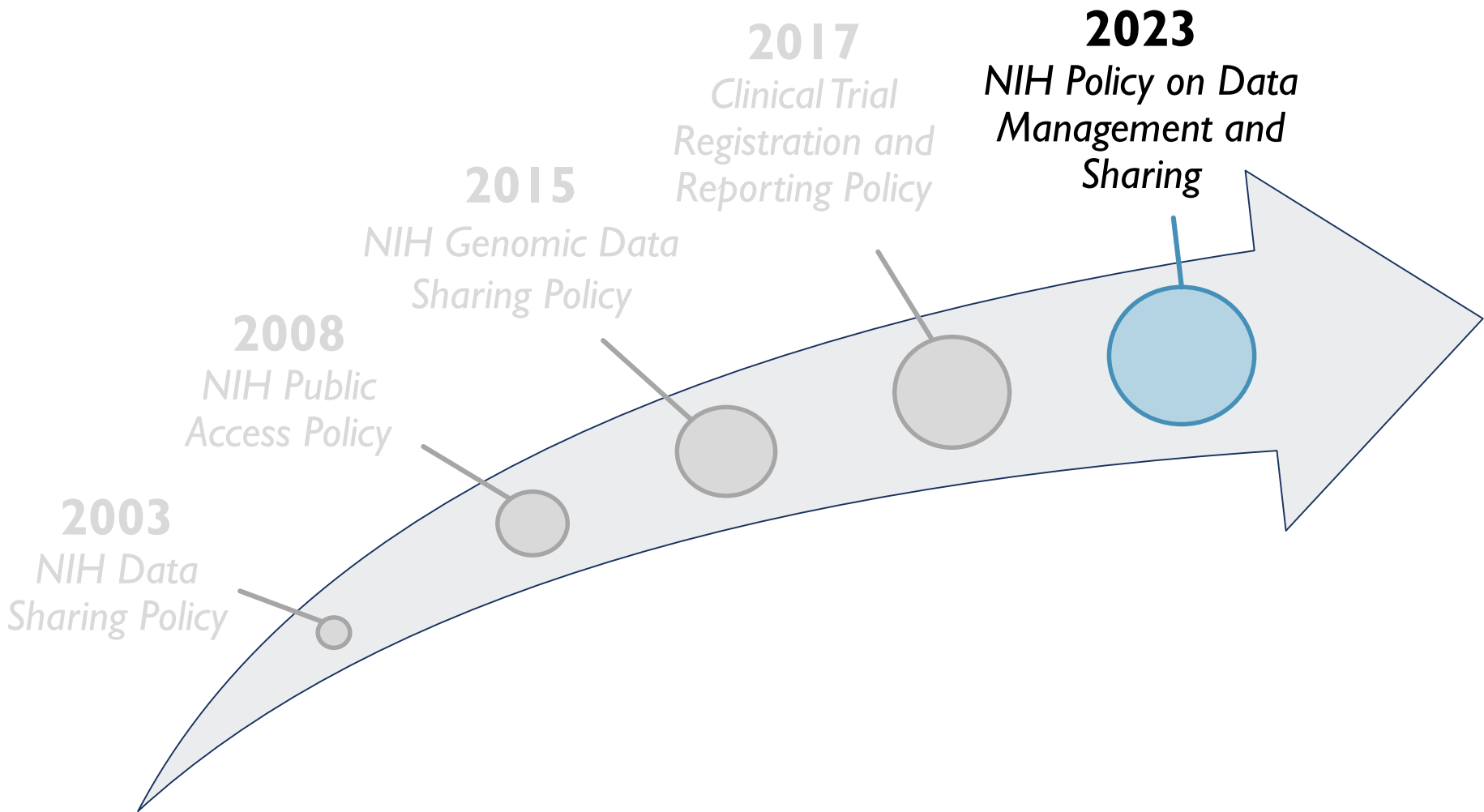
On or by
Dec 31, 2025
NIH Revised Public Access Policy

On or by
Dec 31, 2027
NIH Persistent Identifiers Policy

In Planning…

Opportunities for public comment and engagement will be crucial to allow for iterative policy development

Institute of Museum and Library Services

Anthony D Smith, Associate Deputy Director Office of Library Services

Grant-Funded Work in the Library Community

- John Hopkins University
  - *Fedora 4 API Extension (API-X) Architecture*
    https://github.com/fcrepo4-labs/fcrepo-api-x/blob/master/src/site/markdown/apix-design-overview.md
- California Digital Library
  - *Curating a Community Registry of Research Organizations*
    https://ror.org/
- Indiana University Bloomington
  - *Bridging the Gap between Scientists, Institutional Repositories and Data Management Practices*
    https://imls.gov/grants/awarded/re-37-19-0082-19

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