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11-7-2022

## Community Forum on the 2022 OSTP Public Access Policy Guidance [presentation slides]

White House Office of Science and Technology Policy

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THE WHITE HOUSE  
WASHINGTON

# 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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# Community Forum on the 2022 OSTP Public Access Policy Guidance

7 November 2022

White House Office of Science and Technology Policy

# Outline

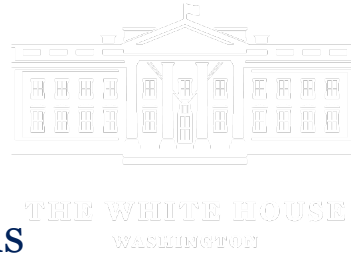


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- Summary of the 2022 OSTP Memorandum
- Clarification about the scope of the 2022 Memorandum
- Timeline for agency adoption of the 2022 Memorandum



# 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 25<sup>th</sup>, 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.

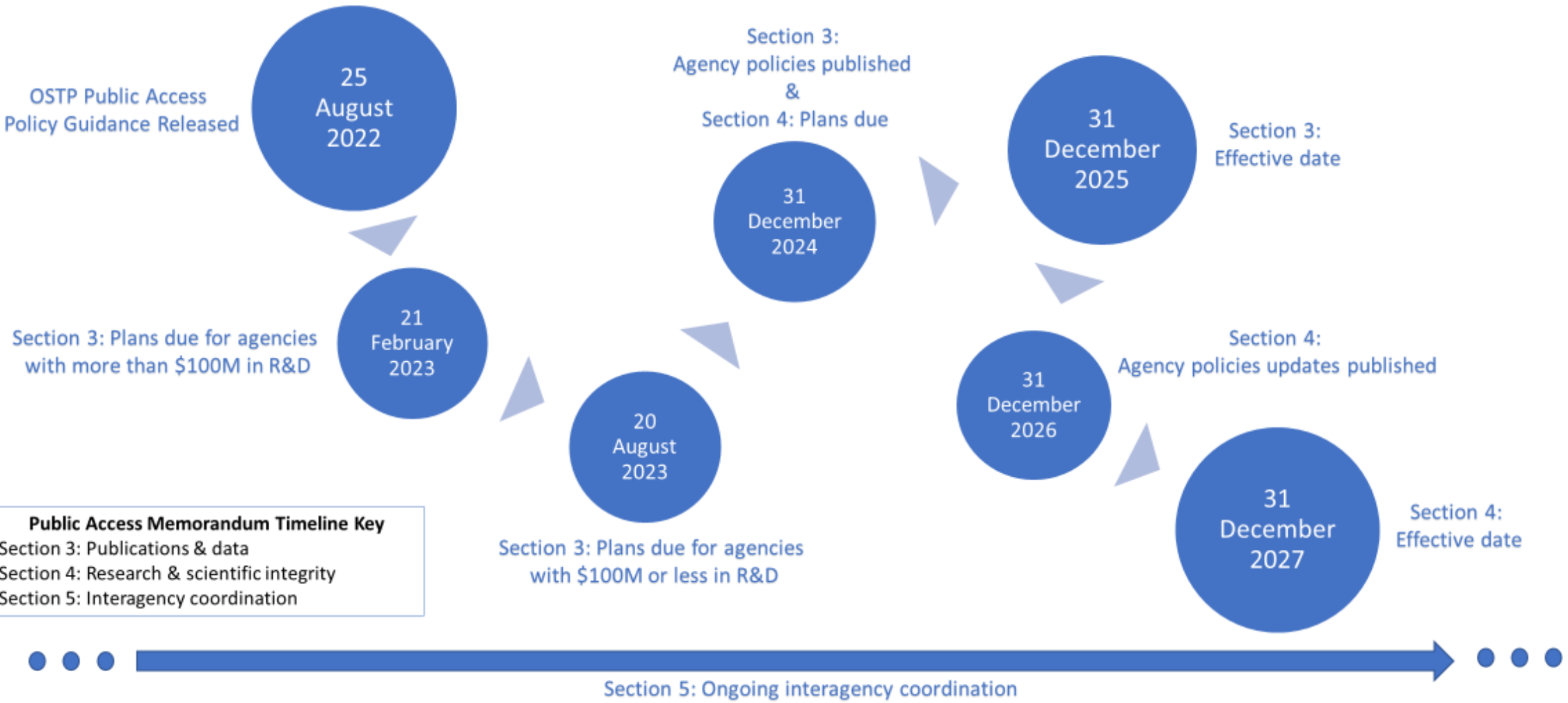


# What new policy guidance is not:

- 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



2022 Public Access Memo



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# Thank you

## (Now for Agency Perspectives)





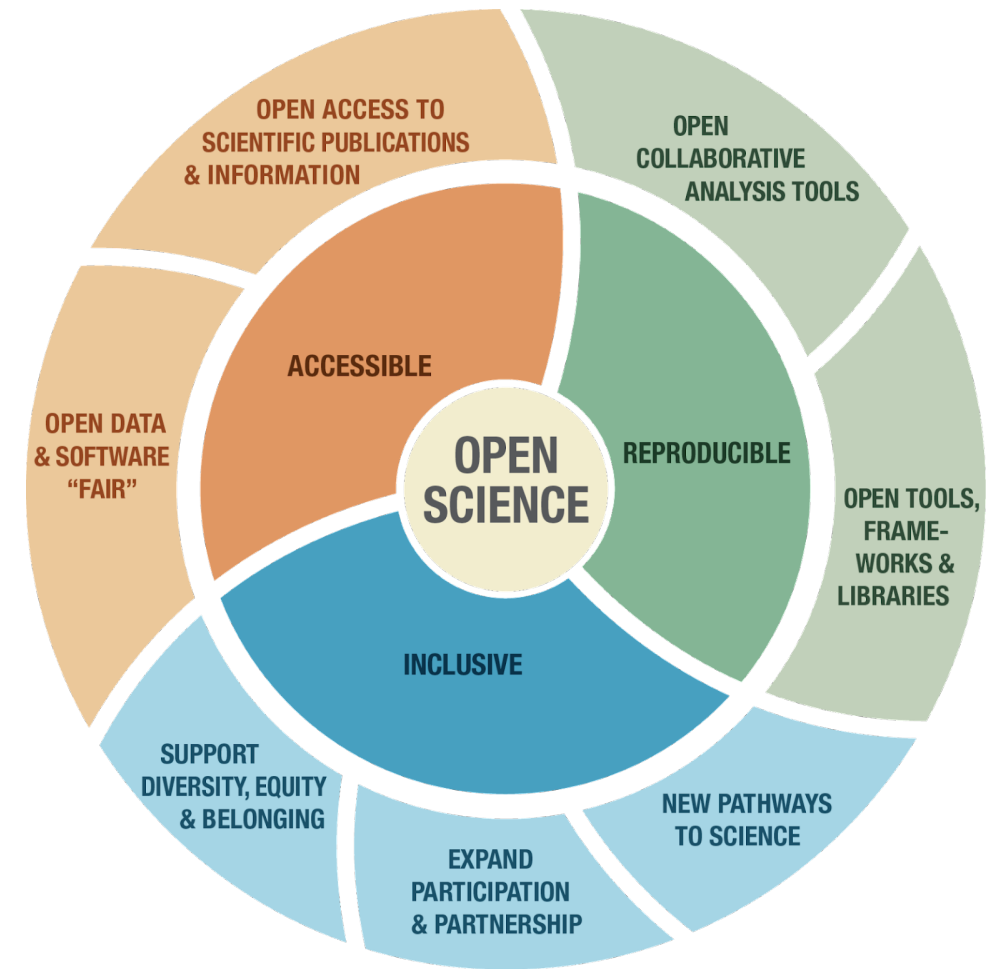
# NASA: Committed to Open Science

Patricia Knezek  
Program Scientist, NASA Headquarters  
Co-chair, NSTC Subcommittee on Open Science  
November 7, 2022

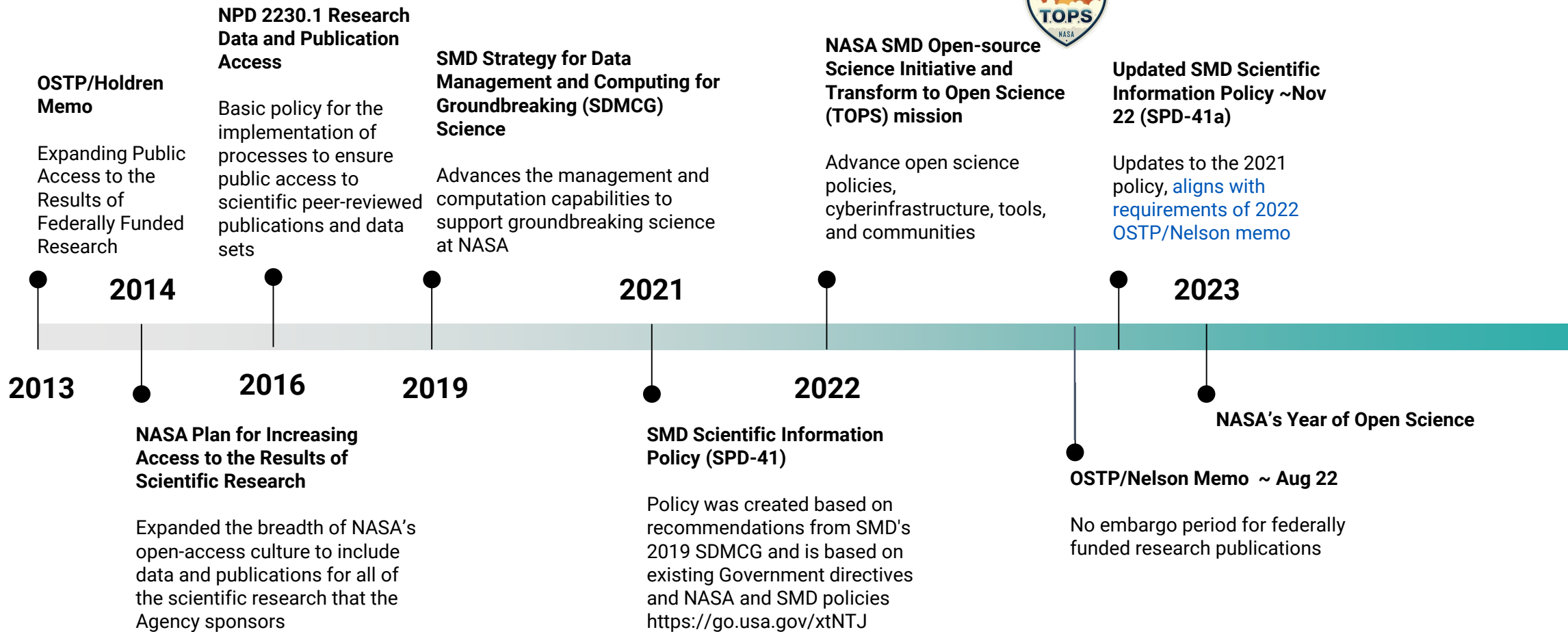
# NASA's Perspective on the 2022 OSTP Public Access Memo

- 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.







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)

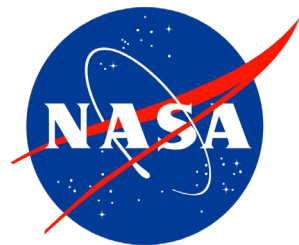
Agency-wide group efforts to date:

- 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

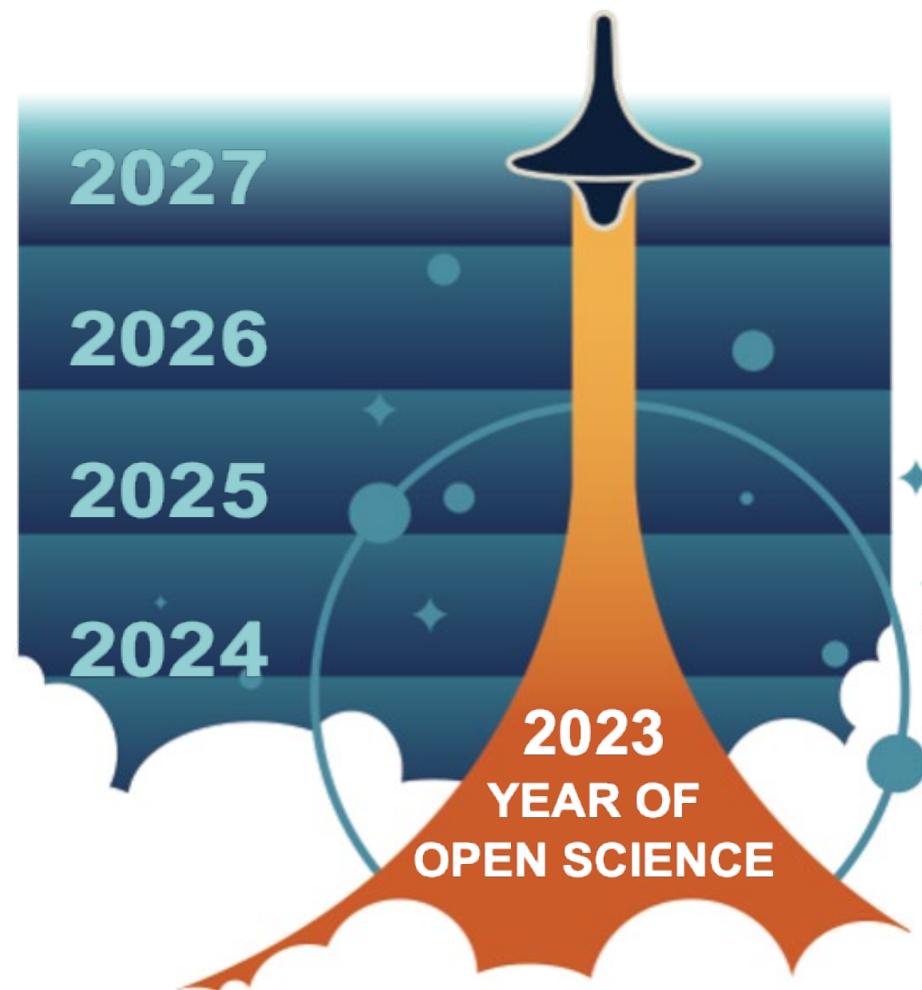
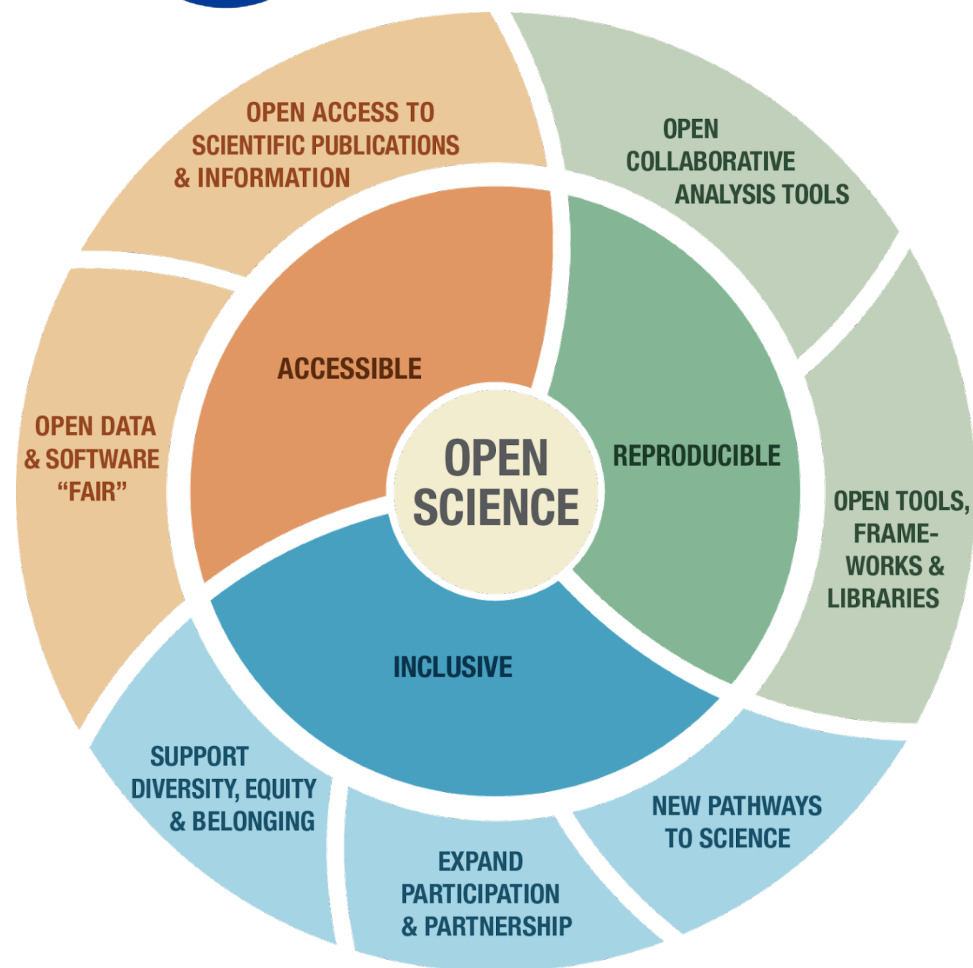
# NASA's Science Mission Directorate (SMD): Open Source Science

- 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



# Thank You!



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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

**Jerry Sheehan**

Deputy Director, Policy & External Affairs  
National Library of Medicine, National Institutes of Health

**Community Forum on the 2022  
OSTP Public Access Policy Guidance  
November 7<sup>th</sup>, 2022**



# 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**



NIH VISION

# AN INTEGRATED DATA ECOSYSTEM





NIH VISION

# AN INTEGRATED DATA ECOSYSTEM



**FAIR Principles**

**Metadata**

**Consent & Privacy**

**Storage Costs**

**Interoperability**

**Data Standards**

**Curation Costs**

**Security & Integrity**

**Data Agreements**

**Common Data Elements**

**Public Access**

**Persistent Identifiers (PIDs)**

# NIH STATEMENT 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](https://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](https://sharing.nih.gov)

Lawrence A. Tabak, D.D.S., Ph.D.

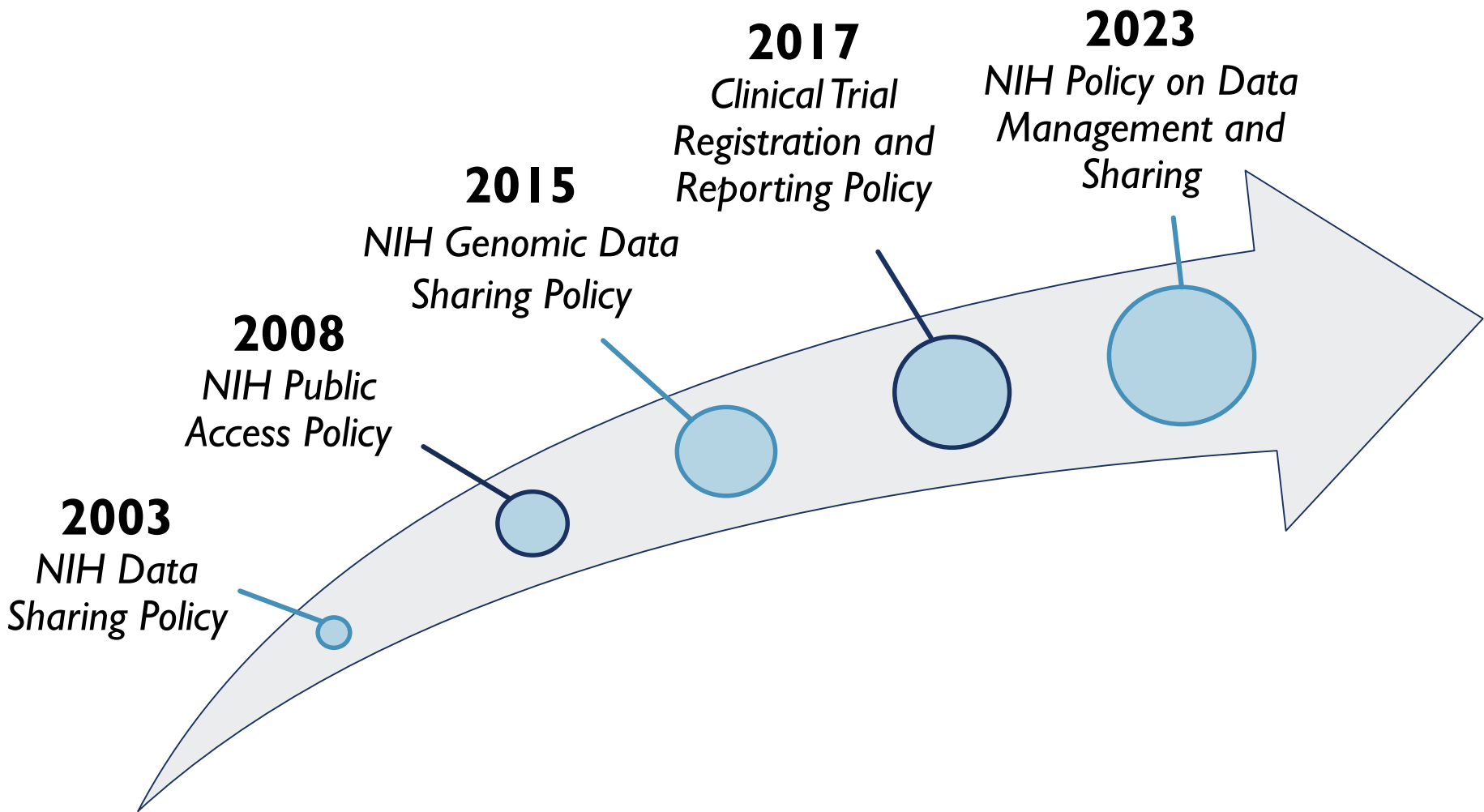
Performing the Duties of the NIH Director

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



BUILDING FROM A STRONG FOUNDATION

# DECADES OF NIH PUBLIC ACCESS AND DATA SHARING





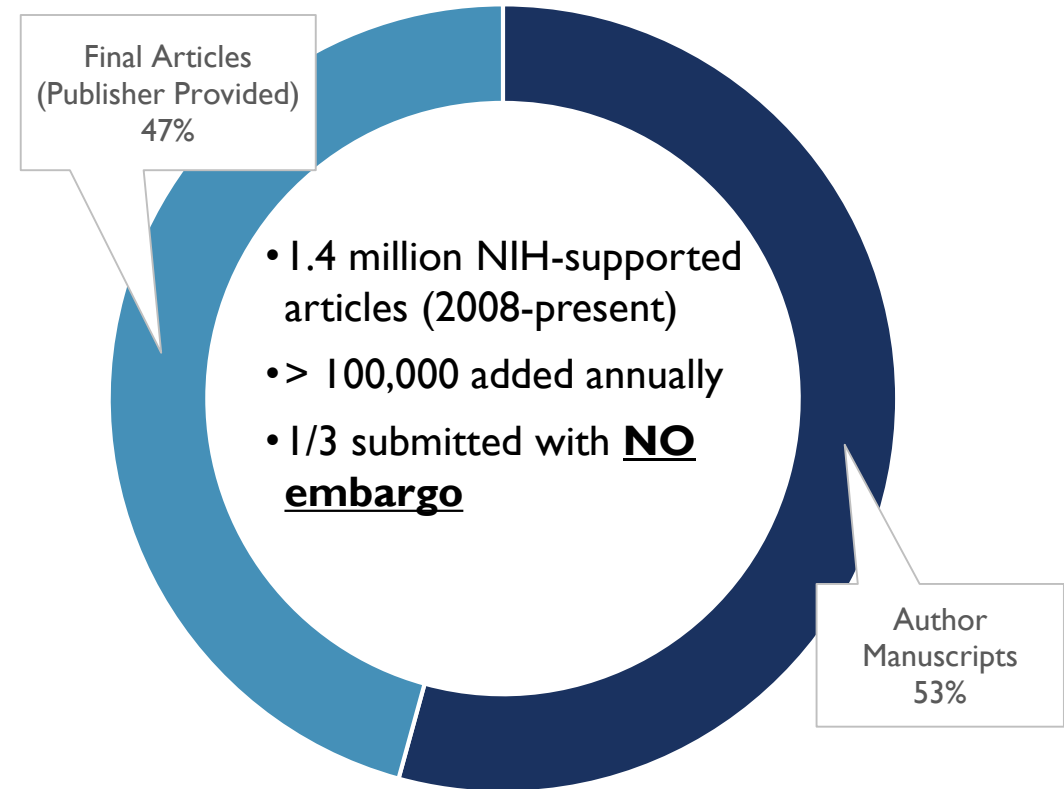
HOW IT STARTED, HOW IT'S GOING

# 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

## NIH-Supported Articles in PMC





## 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](https://sharing.nih.gov)

POISED FOR SUCCESS

# NIH HAS MECHANISMS AND INFRASTRUCTURE IN PLACE

## 2022 OSTP Memo

- Federally funded publications freely available, publicly accessible without embargo

- 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)

## Current approach, resources

Public Access Policy  
(2008; to be revised)

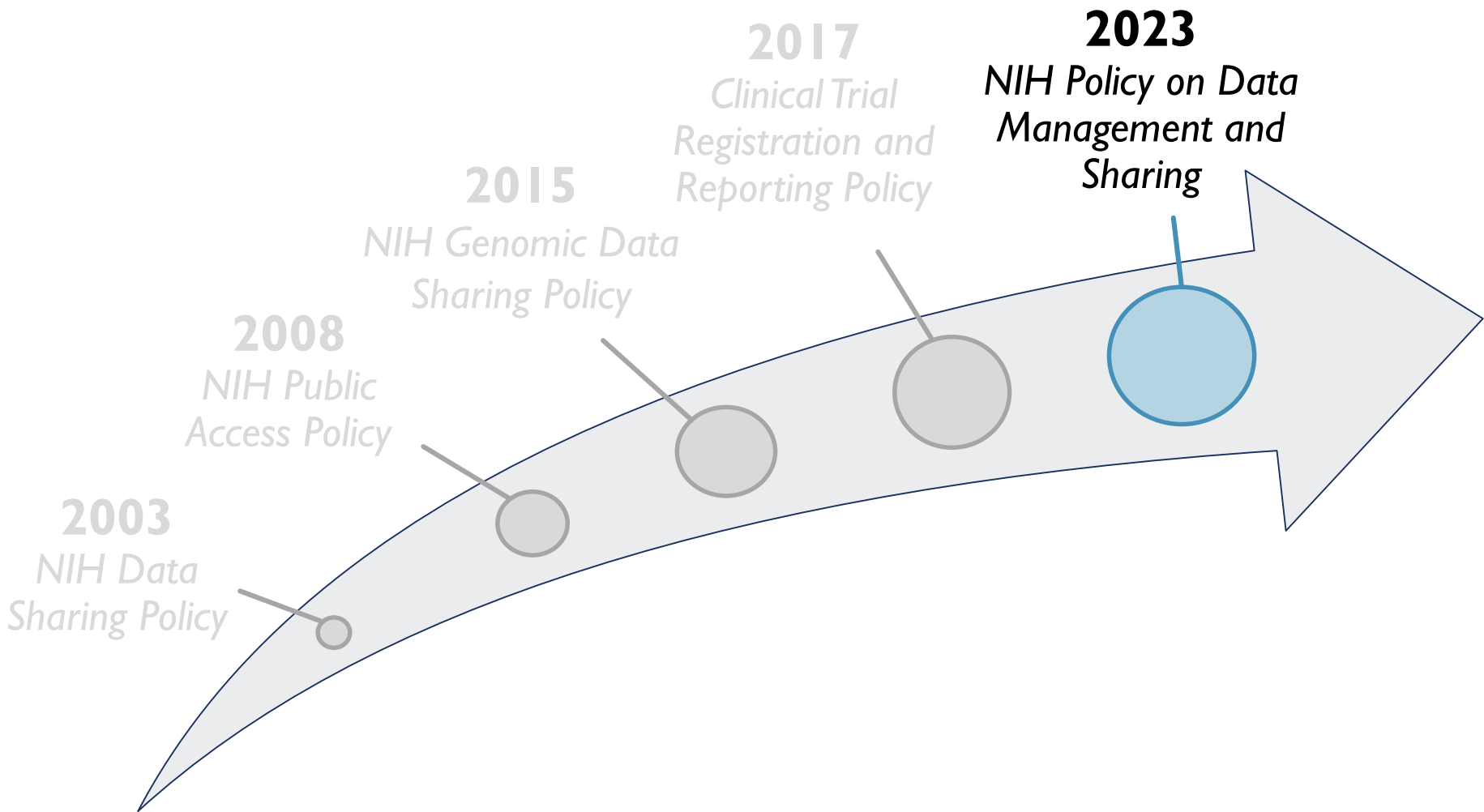


Policy on Data Management and Sharing  
(2023; meets expectations of OSTP Memo)





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



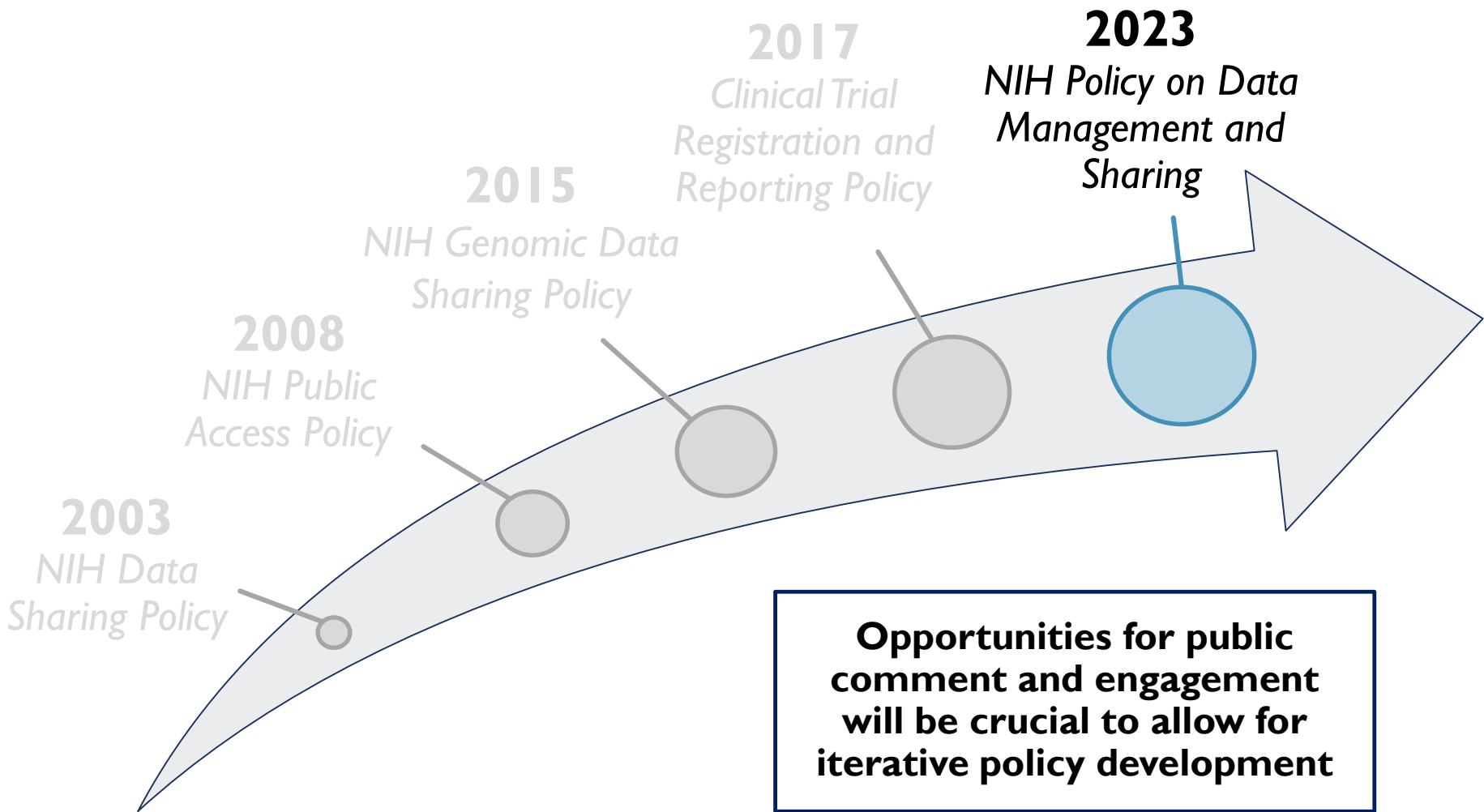
On or by  
**Dec 31, 2025**  
*NIH Revised Public Access Policy*

On or by  
**Dec 31, 2027**  
*NIH Persistent Identifiers Policy*

**In Planning...**



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



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

On or by  
**Dec 31, 2025**  
*NIH Revised Public Access Policy*

On or by  
**Dec 31, 2027**  
*NIH Persistent Identifiers Policy*

**In Planning...**





# 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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