



Public Access and Open Science Landscape

An Overview of Federal Public Access Mandates and Requirements

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U.S. National Science Foundation's Established Program to Stimulate Competitive Research (EPSCoR)



The Inception of Federal Public Access Requirement

2013 Holdren Memo

- Title: “Increasing Access to the Results of Federally Funded Scientific Research”
- Issued February 22, 2013 by John P. Holdren, director of the White House Office of Science and Technology Policy (OSTP) under the Obama Administration
- “committed to ensuring that”...“the direct results of federally funded scientific research are made (publicly) available”... “Such results include peer-reviewed publications and digital data.” (Notably, with automatic 1-year embargo.)
- Directed agencies that issue \$100M+ in research awards “to develop a plan to support increased public access to the results of research funded by the Federal Government.”
- **The Holdren memo represented the first formal commitment (mandate) by the U.S. government to the basic proposition that publicly funded research outputs should be made accessible to the public**



NSF AND AGENCIES

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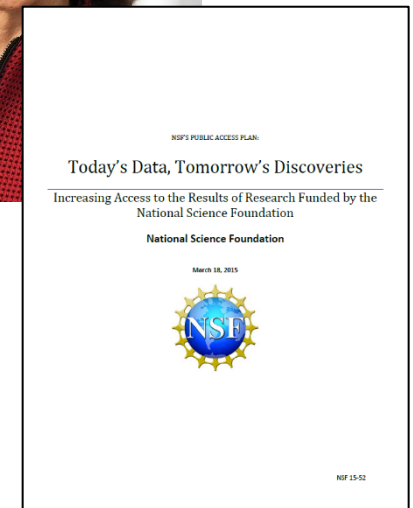
The Administration also recognizes that publishers provide valuable services, including the coordination of peer review, that are essential for ensuring the high quality and integrity of many scholarly publications. It is critical that these services continue to be made available. It is also important 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.



NSF 15-52 Plan

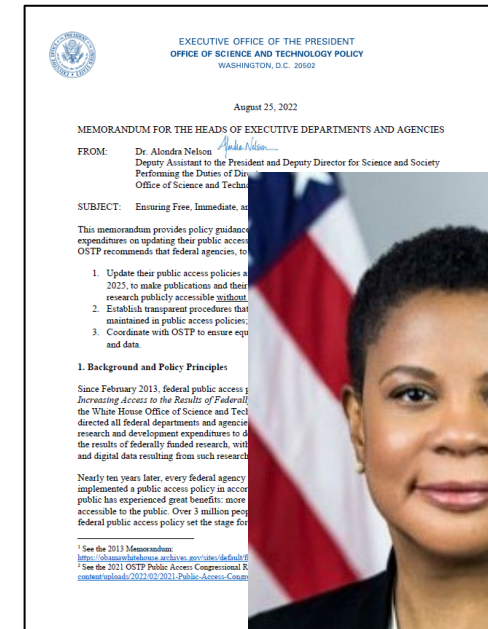
- NSF's Public Access Plan is document NSF 15-52, entitled: ***Today's Data, Tomorrow's Discoveries: Increasing Access to the Results of Research Funded by the National Science Foundation***
- Published March 18, 2015, under NSF Director France Córdova
- Policies regarding new Holdren federal mandate for public access in the NSF PAPPG (Proposal & Award Policies & Procedures Guide) and NSF Award Terms & Conditions
- Procedurally implemented in new features of NSF annual reporting process, which now required deposits of peer-reviewed articles made publicly available in NSF Public Access Repository (<https://par.nsf.gov>) after 1-year embargo
- Note that NSF PA requirements can be satisfied by depositing *either* AAM (final version of author's accepted manuscript) *or* VOR (the published version of record)





2022 OSTP (Nelson) Memo

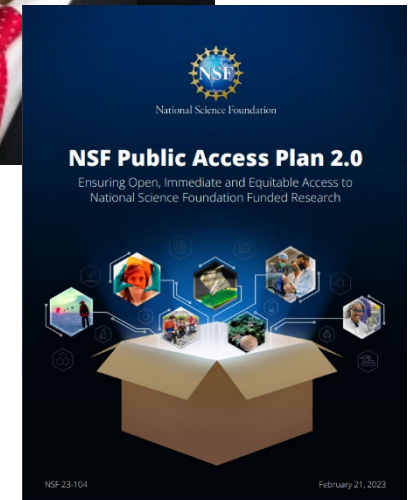
- Issued August 25, 2022, by Dr. Alondra Nelson
- Large federal funding agencies must create new public access plans by Feb 2023, with policies by 2024, and implementation by 2025
- Following critiques of the Nelson requirements, this memo calls for three new public access requirements, that it be: 1) **Free**, 2) **Immediate**, and 3) **Equitable**
- Now calls for default zero-embargo public access to both:
 - *Peer-reviewed articles* upon publication, and
 - *Data undergirding such publications* (note that this only applies to data created by means of NSF award, and only when such data is not restricted by personally identifiable information, national security concerns, or other legal restrictions)





NSF 23-104 Public Access Plan 2.0

- NSF's Public Access Plan 2.0 is document NSF 23-104, entitled: ***Ensuring Open, Immediate and Equitable Access to National Science Foundation Funded Research***
- Published June 2023 under NSF Director Sethuraman Panchanathan
- Will again be procedurally implemented in NSF annual reporting process, with deposits of peer-reviewed articles in NSF Public Access Repository (<https://par.nsf.gov>), now with no embargo
- Note again that NSF PA requirements can be satisfied by depositing either AAM (final version of author's accepted manuscript) or VOR (the published version of record)
- Data is made publicly accessible by recording in annual reporting the DOI (Digital Object Identifier) for the data when deposited in a repository of the researcher's choice, provided the repository is freely accessible
- These requirements will go into effect in the 2025 PAPPG and Terms & Conditions





Questions & Answers

1. Does open science mean that the authors will need to pay additional fee for their publications? Response: *No. Remember that NSF PA requirements can be satisfied by depositing either AAM (final version of author's accepted manuscript) or VOR (the published version of record); the AAM is not subject to additional required fees for deposit and reporting compliance purposes.*
2. Equity is imperative in implementing updated public access and open science plans. I look forward to insights on what to look out for and ways in which to avert unintended consequences. Response: *Equity concerns are top of mind for NSF, and were foregrounded in our Public Access Plan 2.0*
3. I am especially interested to learn more about updates to the NSF data policy. Response: *While NSF will comply with the Nelson memo requirements, specific agency directorates and divisions may have additional guidance more specific to their programs.*
4. Very interested in hearing of preferred strategies for satisfying federal expectations for public accessibility after the life of the award that produced the data, etc. Response: *Currently agencies cannot require compliance with procedures indefinitely after the period of performance for awards, however merit review by peer review panels does take into account results of prior funding.*
5. I'm interested to learn more about open science. I'm particularly interested in techniques and strategies for evaluation. Also roles for external evaluators, if they are required. Response: *Lots can be said, but briefly, see: <https://makedatacount.org/>*
6. I wonder if there are any funding opportunities to support open science research. Response: *Perfect segue to next presentation...*