Federal Public Access Compliance: Process & Plans

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Public Access of Publications
A Requirement of Funding

- Partial or full funding from a federal agency
- Your publication or award meets the agency plan effective date
- Non-compliance could affect your current or future funding from that agency
- Not going away soon.
OSTP Memo

TO: Federal Agencies (spend $100+ Million on R&D)
FROM: The White House OSTP
RE: Develop public access plans for the results of research

Develop plans where researchers who receive full or partial funding will:

1. Make publications resulting from federally funded research freely available to the public within one year of publication;
2. Better account for and manage digital data.

Results
22 federal agencies have public access plans to date
Plan Requirements for All Federal Agencies

OSTP

- Published in peer-reviewed publications
- 12 Month post-publication embargo
- Easy public search, analysis of, and access
- Full public access to publications’ metadata
- Archival solution
What Do You Mean by Public Access?

Open Access
- Author pays a publishing fee to make content freely available
- Author retains more of the copyright than the journal
- Does NOT meet federal requirements

vs.

Public Access
- No cost to authors
- After one year content is freely available
- Condition of receiving federal research funds
Public Access Support – Ebling Overview

■ Where We’ve Been
  o NIH Public Access Policy – April 7, 2008
  o One agency: +150 presentations, over 2000 submissions & more than 5000 questions answered
  o Ebling Library staff provided help

■ Where We’re Going
  o Public Access to Publications and Data (Coming Soon!)
  o 24 agencies (including NIH) with improved plans and/or implementation
  o Presentations, consultations, submissions
  o Public Access Plans website (being updated)
Includes: AHRQ, ASPR, CDC, FDA and NIH

Effective: February 2015 (AHRQ); October 1, 2014 (ASPR); July 15, 2013 (CDC); October 1, 2015 (FDA); April 7, 2008 (NIH)

Who: Authors, Publishers & 3rd parties

What to submit: Final accepted peer-reviewed manuscripts

Submit to: NIH Manuscript Submission System (NIHMS)

Repository: PubMed Central; CDC Stacks (CDC dual-hosted)

Embargo: 12 months post-publication

Submission alternative: Final published article, if permissible (AHRQ)

Compliance: Compliance review of RPPRs and Biosketches. “NIH may take proactive action to protect the Federal government’s interests, including placing special conditions on awards or precluding the grantee from obtaining future awards for a specified period…”
NIH Submission Methods

Source: https://hsl.lib.umn.edu/biomed/help/submitting-manuscripts
“Don’t Reinvent the Wheel”
(NIH Model)

**National Aeronautics and Space Administration**
Public Access Compliance Essentials

- **Effective:** Grants and cooperative agreements awarded after November 28, 2016
- **Who:** Authors, Co-authors, 3rd parties (Primary awardee responsible)
- **What to submit:** Final, peer-review manuscript
- **Submit to:** NIH Manuscript System (NIHMS)
- **Repository:** PubSpace
- **Embargo:** 12 months post-publication
- **Submission alternative:** Final published article, if permissible
- **Compliance:** “Non-compliance will be addressed administratively, and may delay or prevent awarding of funds.”

**National Institute of Standards & Technology**
Public Access Compliance Essentials

- **Effective:** Publication date of October 1, 2015 or later
- **Who:** PIs & 3rd Parties
- **What to submit:** Final peer-reviewed, accepted journal manuscript
- **Submit to:** NIH Manuscript Submission System (NHHMS)
- **Repository:** PubMed Central
- **Embargo:** 12 months post-publication
- **Submission alternative:** Final published article, if permissible
- **Compliance:** “Non-compliance…will result in penalties; policies will evolve over time.”

**Department of Veteran Affairs**
Public Access Compliance Essentials

- **Effective:** Articles from research initiated on/after January 1, 2016
- **Who:** PIs, Co-PIs, 3rd Parties
- **What to submit:** Final accepted, peer-review manuscript. Includes all graphics and supplemental materials associated with article
- **Submit to:** NIH Manuscript System (NIHMS)
- **Repository:** PubMed Central
- **Embargo:** 12 months post-publication
- **Submission alternative:** None
- **Compliance:** “[m]ay halt research and require corrective action to ensure compliance.”
**Effective:** Proposals submitted on/after January 25, 2016

**Who:** PI’s or Co-PI’s *only*

**What to submit:** Final, peer-review manuscript (PDF/A) – Articles or juried conference papers

**Submit to:** Research.gov

**Repository:** NSF Public Access Repository (NSF-PAR)

**Embargo:** 12 months post-publication

**Submission alternative:** Submit through Annual, Final, Interim or Outcomes reports (allow 6 hours for submission)

**Compliance:** Unsubmitted manuscripts cannot be included in award reports
Submission Notes

What You Need:

• Research.gov login
• DOI of article or proceeding (full citation info, if you cannot locate DOI)
• Copy of manuscript (PDF/A)
• Grant numbers of awards

Submitted grants appear on report forms
“Use What You Have”
(DIY Model)

**Department of Agriculture**
**Public Access Compliance Essentials**

**Effective:** TBA (Extramural details still not available)

**Who:** Authors and grantees

**What to submit:** Final peer-reviewed manuscripts

**Submit to:** PubAg System

**Repository:** USDA Public Access Archive System (Not Available)

**Embargo:** 12 months post-publication

**Submission alternative:** Final published article, if permissible

**Compliance:** Establishing proper mechanisms for compliance. “Failure to comply will negatively influence future funding opportunities.”

**Department of Transportation**
**Public Access Compliance Essentials**

**Effective:** Extramural projects initiated or with new funding added on/after January 1, 2016

**Who:** PI’s, sub-awardees, authors

**What to submit:** Final accepted, peer-review manuscript

**Submit to:** Transportation Research Board’s Research in Progress database (rtp.trb.org)

**Repository:** NTL Digital Repository

**Embargo:** 12 months post-publication

**Submission alternative:** None

**Compliance:** “Non-compliance alone is not a reason to be denied a future funding agreement, for example a grant, contract or cooperative agreement.”

**Smithsonian**
**Public Access Compliance Essentials**

**Effective:** Articles or chapters submitted after October 1, 2015

**Who:** PI’s & authors

**What to submit:** Final accepted manuscript, or link to final version (Smithsonian?)

**Submit to:** Smithsonian Research Online

**Repository:** Smithsonian Research Online

**Embargo:** 12 months post-publication

**Submission alternative:** Publication in an established OA journal that makes the final publication available immediately, without embargo, is compliant

**Compliance:** Compliance monitored through outside vendor
Effective: Awards issued or renewed after October 1, 2014
Who: Authors, grantees or 3rd parties
What to submit: Final accepted peer-reviewed manuscript
Submit to: Energy Link System (E-Link)
Repository: Public Access Gateway for Energy and Science (PAGES)
Embargo: 12 months post-publication
Submission alternative: Submissions include metadata, citation information & DOI
Compliance: Outside vendors will be utilized for tracking publications and monitoring compliance
DOE E-Link Submission Process

Submission Notes

- Award number required to submit.
- Digital Object Identifiers (DOI’s) automatically fill in journal information.
- Use ORCID to identify yourself and other authors.
- Awarding offices and programs are automatically notified when an awardee submits via E-Link.
Effective: TBA
Who: PI’s and 3rd parties
What to submit: Final accepted, peer-review manuscript (prefers PDF or PDF/A format)
Submit to: 1) Funding unit point of contact, such as Air Force; 2) Enterprise Content Management System (ECMS); 3) Email; 4) FTP; or 5) Multimedia.
Repository: DTIC (searchable index: PubDefense)
Embargo: 12 months post-publication
Submission alternative: Submissions must accompanied by SF-298 Report Documentation page
Compliance: Monitoring development ongoing
Submission Notes

- Register with DTIC before using
- Use IE 10+ or Firefox
- 3 sections
  - Submitter/Author/Performing Org.
  - Document & Funding
  - Distribution

ECMS
“Something Old, Something New” (Evolution Model)

National Oceanic and Atmospheric Administration
Public Access Compliance Essentials

Effective: Publication date of October 1, 2015 or later
Who: Primary Author
What to submit: Final peer-reviewed, accepted technical report or journal manuscript
Submit to: noaa.repository@noaa.gov (Only extramural option)
Repository: Centers for Disease Control (CDC) Stacks
Embargo: 12 months post-publication
Submission alternative: Final published article, if permissible
Compliance: “[I]nvestigators that do not comply shall be prohibited from receiving future funding or otherwise sanctioned.”

United States Geological Survey
Public Access Compliance Essentials

Effective: Articles published after October 1, 2016
Who: PIs & co-PI's (only)
What to submit: Final peer-reviewed, accepted journal manuscript
Submit to: Project Scientist will place publication into IPDS dark archive via Publications Warehouse
Repository: USGS Publications Warehouse + IPDS
Embargo: 12 months post-publication
Submission alternative: None. Extramural publications will be cataloged in Publications Warehouse with a link provided to the full-text of the article on the publisher’s website
Compliance: “Funds are withheld if an awardee is in noncompliance.”
Department of Education/IES
Public Access Compliance Process

Effective: Grant or contract awarded after September 2011

Who:

What do you submit: Final, peer-review manuscript & citation info in single PDF

Submit to: Educational Resources Information Center (ERIC)

Repository: ERIC

Embargo: 12 months post-publication

Submission alternative: Manuscripts published by Institute of Education Sciences (IES) do not need to be submitted; IES will submit

Compliance: Potentially, not finalizing new awards until awardee is in compliance
Submission Notes

- Full text, attachments & tables must be provided
- Submitter must provide an abstract
- Title, author(s) name, and date of publication or presentation must be on the first page
- Conference information must appear on the first page

eric.ed.gov/submit
Public Access Compliance Best Practices

1. Make your funders’ PA plan(s) part of your grant process
2. Acknowledge funders, grants, and grant numbers on manuscripts
3. Save time. Create an ORCID ID (https://orcid.org) and Use it

Used by DOD/EPA/FDA/NASA as part of submission process - Required by DOT
BuckySubmit

go.wisc.edu/buckysubmit

Get your public access submissions reviewed

Submit to all federal funders – at one time!

Let Us Do the Work
Federal Public Access Takeaways

- PI is responsible for compliance
- Even established requirements are still moving targets
  - PA plans & process continue to be tweaked
  - Know the approved submitter (PI, co-PI, 3rd party?)
  - Understand manuscript requirements: format, DOI, supplementary material
- Keep track of your final, accepted manuscripts & acknowledge grants
- Help is available! go.wisc.edu/public-access
Questions? Concerns? Want to Submit?

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