Implementation Plan to Increase Access to USDA-funded Research Results

Q & A Session
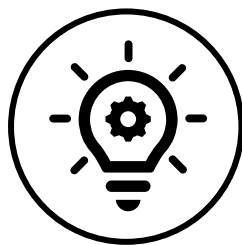## 2/20/2024

Today's Agenda

- Introductions

- History of Public Access Policy @ USDA

- Implementation Plan Details

- Question and Answer Period

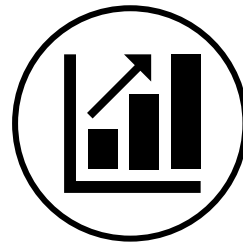# Public access makes scientific information freely available to all.
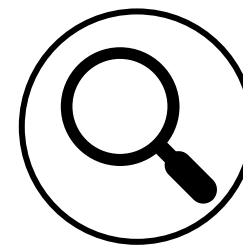
Benefits of public access include:

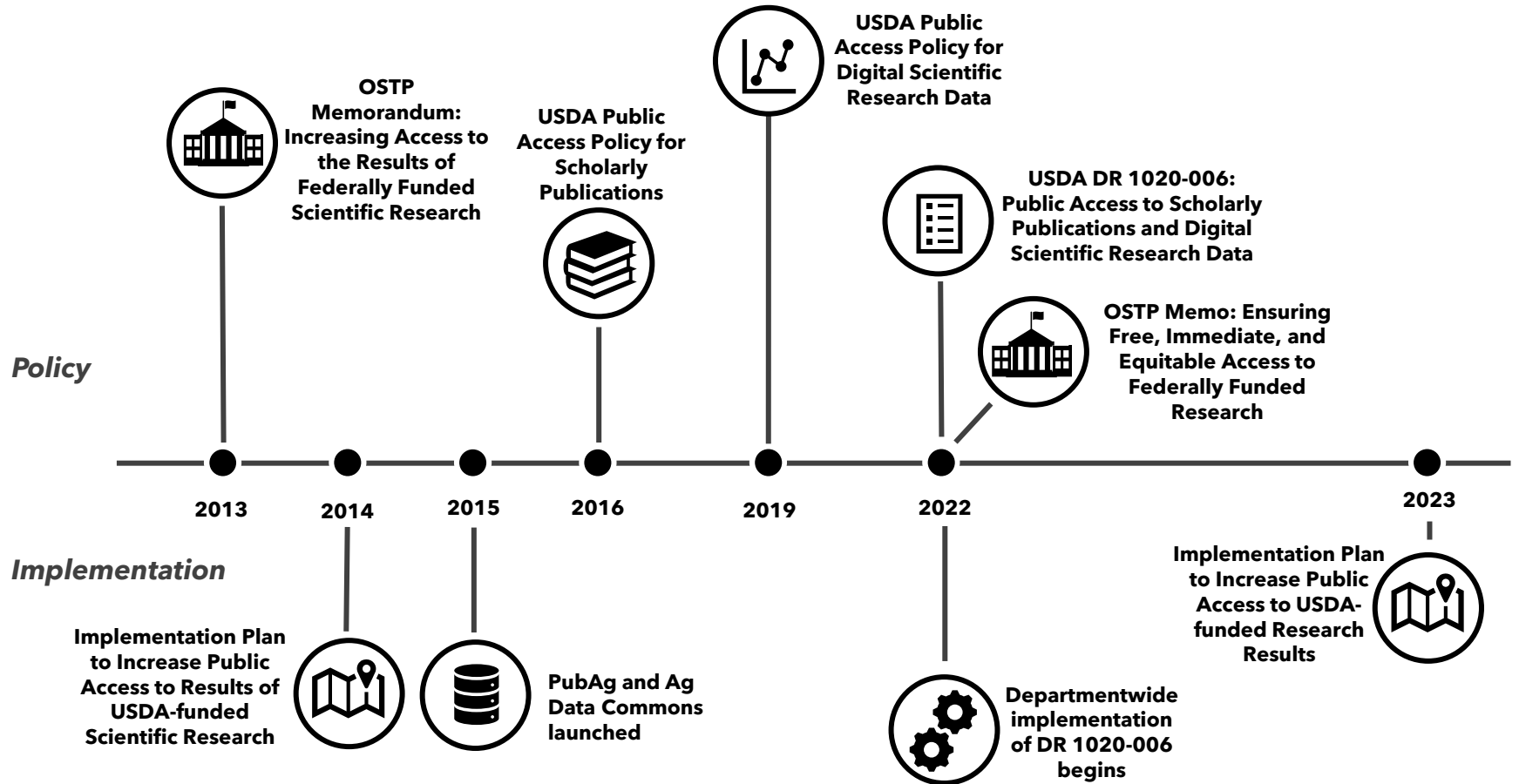|			
Equal access to research products	**Discovery and innovation in agricultural research**	**Enablement of data-driven decision-making**	**Scientific accountability, transparency, and integrity**

Federal Drivers of Public Access

- Federal requirements laid out in two White House Office of Science and Technology Policy (OSTP) memorandums:

  - [Increasing Access to the Results of Federally Funded Scientific Research](#) (2013)

  - [Ensuring Free, Immediate, and Equitable Access to Federally Funded Research](#) (2022)

- Implementation is ongoing across federal science agencies; coordination through NSTC Subcommittee on Open Science

- Alignment with implementation of other external drivers (e.g., OPEN Government Data Act of 2018)
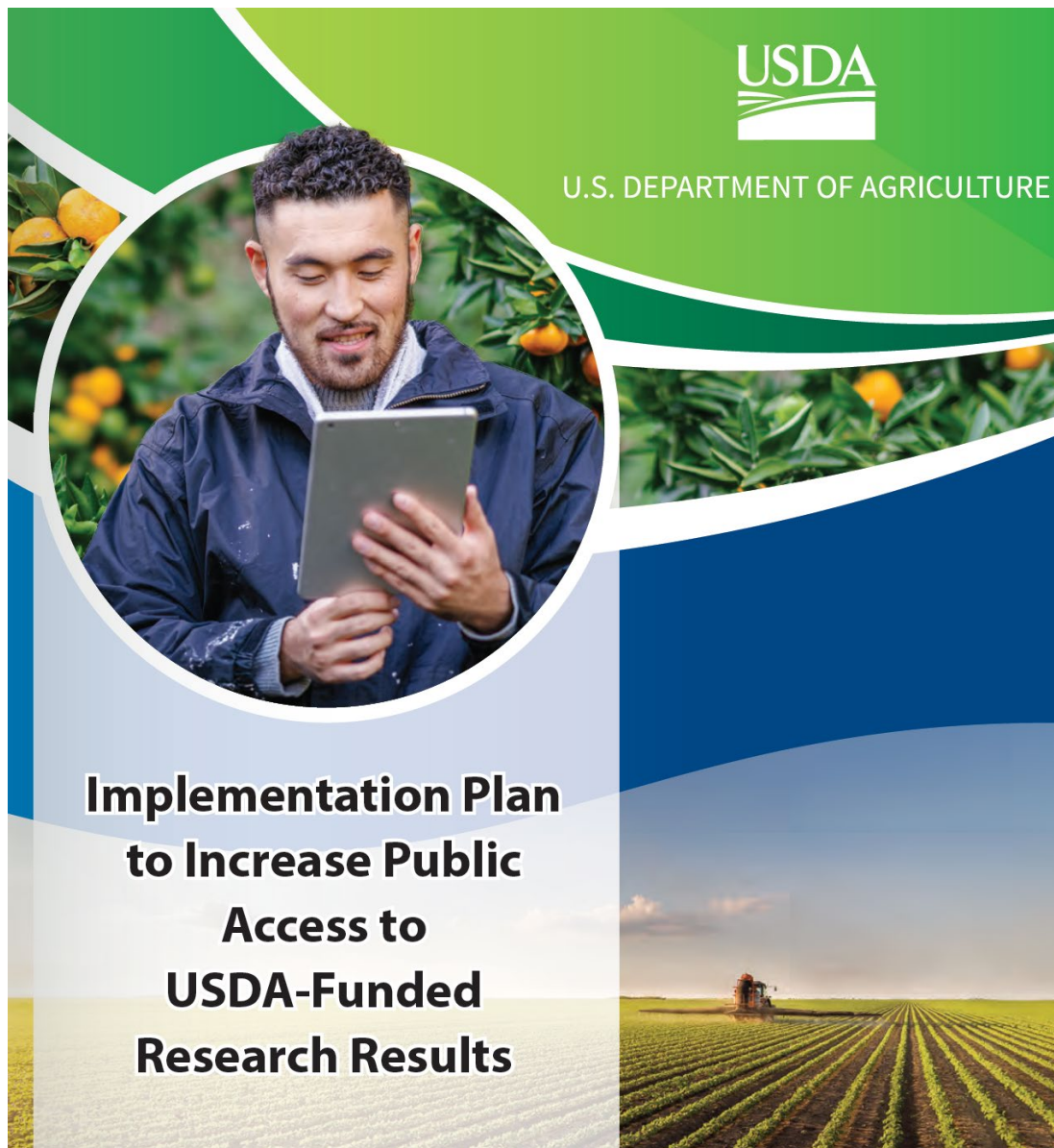
Public Access Milestones at USDA

OSTP Memorandum: Increasing Access to the Results of Federally Funded Scientific Research

USDA Public Access Policy for Scholarly Publications

USDA Public Access Policy for Digital Scientific Research Data

USDA DR 1020-006: Public Access to Scholarly Publications and Digital Scientific Research Data

OSTP Memo: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

Policy

2013 2014 2015 2016 2019 2022 2023

Implementation

Implementation Plan to Increase Public Access to Results of USDA-funded Scientific Research

PubAg and Ag Data Commons launched

Departmentwide implementation of DR 1020-006 begins

Implementation Plan to Increase Public Access to USDA-funded Research Results

2022 OSTP Memorandum: [Ensuring Free, Immediate, and Equitable Access to Federally Funded Research](#)

1. Update their public access policies as soon as possible, and no later than December 31st, 2025, to make publications and their supporting data resulting from federally funded research publicly accessible <u>without an embargo on their free and public release</u>

2. Establish transparent procedures that ensure scientific and research <u>integrity</u> is maintained in public access policies

3. Coordinate with OSTP to ensure <u>equitable</u> delivery of federally funded research results and data

- Published June 2023

- Updated implementation plan to carry out White House OSTP memorandum: [Ensuring Free, Immediate, and Equitable Access to Federally Funded Research](link) (Aug 2022)

- Includes a three-year roadmap for implementation activities and milestones

Implementation Plan Roadmap: FY 2024

- Continue customer and stakeholder engagement to validate information and requirements for making USDA-funded research freely, immediately, and equitably accessible by December 31, 2025.

- Make changes to existing USDA public access policy, following statutory and regulatory requirements and processes, so that USDA can implement new policies by December 31, 2025.

- Ensure ongoing operations and maintenance, and enhancements to PubAg, Ag Data Commons, and research management systems to ensure public access to USDA-funded research outputs, with an emphasis on digital persistent identifier issues to integrate research outputs consistently and at scale.

- Prototype automated reporting frameworks and processes needed to analyze policy effectiveness.

- Develop plans to carry out likely development needs as well as needs revealed during the policy development and implementation process.

- Develop new outreach and training materials and validate them with customers and community stakeholders.

Scope of DR 1020-006

People

- All USDA mission areas, agencies, and staff offices
- All USDA employees who engage in scientific research during official duties
- Awardees and contractors from non-USDA organizations who are engaged in USDA-supported scientific research
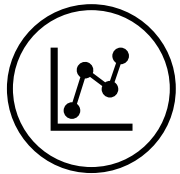
Research

All unclassified scientific research (intramural and extramural) supported wholly or in part by the USDA, regardless of the USDA funding level or funding mechanism. This includes scientific research supported by:

- Any direct funding from a USDA grant or cooperative agreement active in Fiscal Year 2023 or beyond
- Any direct funding from a USDA contract signed on or after October 1, 2022
- Any direct funding or arrangement, including in-kind support, from any USDA Intramural Research

Outline of Policy Requirements

1. Scholarly Publications

2. Digital Scientific Research Data
   a. Public Access
   b. Data Management Plans

3. Persistent Identifiers

1. Requirements for Scholarly Publications

Scope:
Peer-reviewed journal articles published by nongovernmental organizations

Accepted manuscripts must be made **freely available to the public through PubAg ~~within 12 months of~~ upon publication.**

In most cases these should be submitted to submit.nal.usda.gov.

Final published articles may be submitted to PubAg to satisfy this requirement, if the author has the right to share the published version (i.e., open access articles)

2. Requirements for Digital Scientific Research Data

Scope:
Digital scientific research data that are appropriate for public access

Published in a machine-readable format in recognized repository that provides public access, persistent identifier, and preservation

Public access ~~within 12 months of~~ on publishing date of associated scholarly publication, or end of performance period,
whichever comes first

Standardized **metadata catalog entry in the Ag Data Commons**

2. a. Requirements for Digital Scientific Research Data

Digital scientific research data assets should be made publicly accessible to fullest extent practicable.

However, nine categories of digital scientific research data assets <u>should not be made publicly accessible</u>, including:

- Data that would not be necessary for validation of scientific research findings (i.e., trivial data)
- Data assets that include personally identifiable information (PII) or other information that could enable re-identification of individuals or businesses
- Proprietary data assets
- Data assets related to protecting critical infrastructure
- Data assets related to the physical location of threatened or endangered species or sensitive archaeological sites
- Data assets for which release would be inconsistent with U.S. national, homeland, or economic security or would have significant negative impact on intellectual property rights, innovation, and U.S. competitiveness
- Data assets for which public access is inconsistent with agency mission (e.g., documents designated CUI)
- Other data assets whose release is limited by law, regulation, contract, agreement, national security requirements, or policy (e.g., classified data or dual-use research data)
- Data covered by a FOIA exemption

NAL Resources for Data Sharing and Cataloging

https://www.nal.usda.gov/data/find-data-repository

https://agdatacommons.nal.usda.gov/

2. b. Requirements for Digital Scientific Research Data

Scope:

All scientific research covered by this DR

All scientific research must be accompanied by a **reviewed and agency- or office-approved data management plan (DMP)**

DMP must describe how digital scientific research data assets will be made **publicly accessible** and indicate any categories of digital scientific research data assets that are **exempt from public access requirements**

NAL Resources for Data Management Planning

Suggested DMP Components

1. Expected data types
2. Data formats and standards
3. Data storage and preservation of access
4. **Data sharing and public access**
5. Roles and responsibilities
6. Monitoring and reporting

https://www.nal.usda.gov/data/data-management-planning

3. Requirements for Digital Persistent Identifiers

Scope:
All authors of research products covered by the DR, research products

Authors of scholarly publications and digital scientific research data assets should use **individual persistent identifiers**
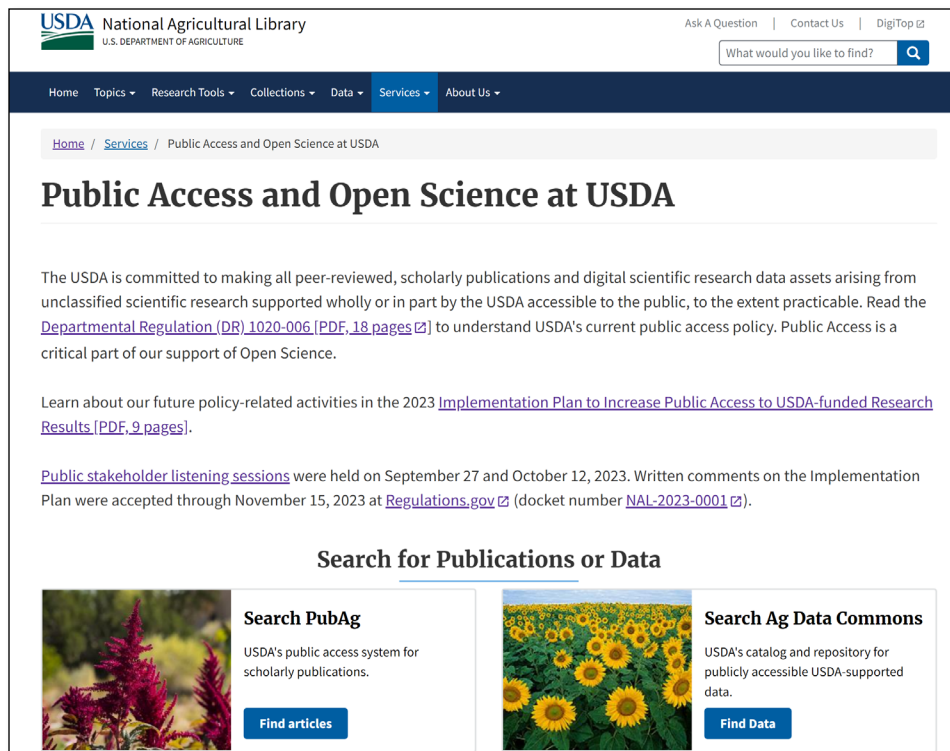(e.g., ORCID iD)

USDA-funded authors who are not USDA staff can go to http://orcid.org or use their institution's links.

Research products should receive persistent identifiers

USDA Public Access Landing Page
https://www.nal.usda.gov/services/public-access

- Implementation Support
  - DR 1020-006
  - Implementation Guide
  - FAQs
- Resources & Services
  - PubAg
  - Ag Data Commons
  - Trainings, templates, compliance checklists, etc.
  - Agency & Office Public Access Points of Contact (TBA)
- Federal register notices and public comment links

We invite you to provide written comments through February 28, 2024

Federal Register notice posted 1/29/2024

Go to **Regulations.gov**, search for "2024-01673" or go directly to:
https://www.regulations.gov/document/NAL-2024-0001-0001

Download the document (same as the FR notice) and use comment button to leave your comment.

Thank You!

- Office of the Chief Scientist is policy owner
  - Rich Derksen, Rich.Derksen@usda.gov

- The National Agricultural Library provides implementation support
  - Cynthia Sims Parr, Cynthia.Parr@usda.gov