

DOE's Model for Public Access to Scholarly Publications

Plans and Progress

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December 19, 2013



U.S. DEPARTMENT OF
ENERGY

Office of
Science

Outline

- Context: Brief review of the chronology of public access policy in the US
- The White House Office of Science and Technology Policy (OSTP) Directive (February 22, 2013)
- DOE's Response

Latest Steps in Development of Policy

America COMPETES Reauthorization Act of 2010



- Research results
- Dissemination
- Long-term stewardship
- Digital data
- Scholarly publications

SEC. 103. INTERAGENCY PUBLIC ACCESS COMMITTEE.

(a) ESTABLISHMENT.—The Director shall establish a working group under the National Science and Technology Council with the responsibility to coordinate Federal science agency research and policies related to the dissemination and long-term stewardship of the results of unclassified research, including digital data and peer-reviewed scholarly publications, supported wholly, or in part, by funding from the Federal science agencies.

2013 OSTP Memo – Increasing Access to the Results of Federally Funded Research

- Released Feb 22, 2013 www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf
-ensuring that, to the greatest extent...the direct results of federally funded research are made available and useful. “Such results include peer-reviewed **publications and digital data.**”
- Applies to **agencies with >\$100 million in R&D** expenditures
- Requires draft agency plans in 6 months, submitted to OSTP. Final plans must use transparent process for soliciting stakeholder views.
- Recognizes **publishers services are essential** for ensuring the high quality and integrity of scholarly pubs, critical to continue.
- Directs use of a 12 month embargo as a **guideline**; agencies can exercise flexibility to address “challenges and public interests that are unique to each field and mission combination.”

DOE Plan For Public Access

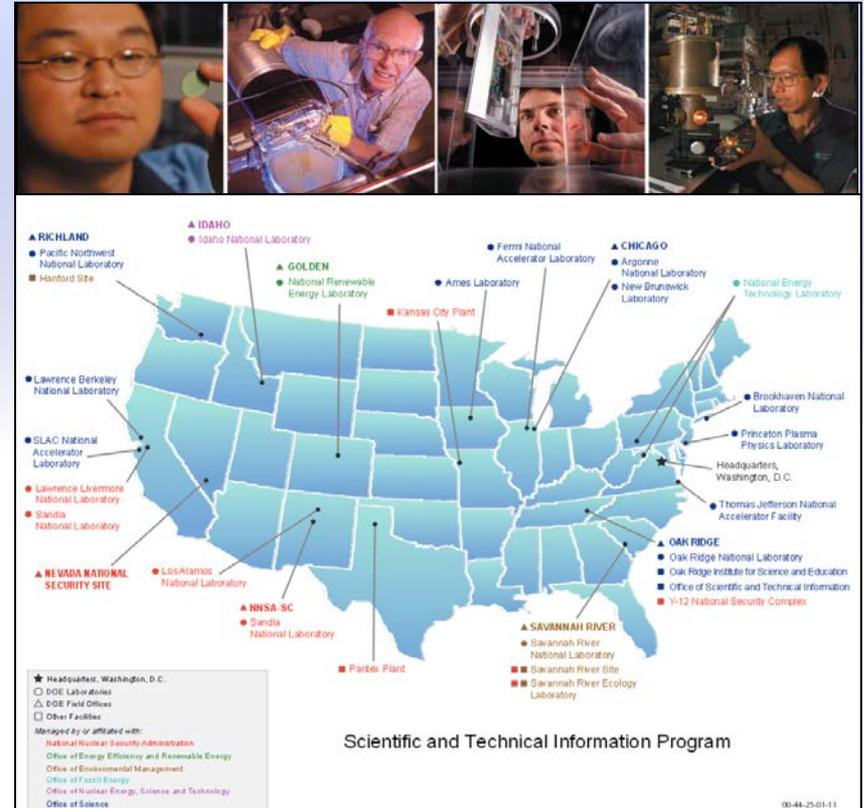
OSTP directed federal science agencies to develop plans for making the results of research they fund publicly available within a year of publication.

- o DOE's plan is before OSTP and OMB as required.
- o Our plan is a natural evolution and extension of ongoing public dissemination capabilities and systems.
- o DOE and predecessor agencies have provided access to unclassified R&D results since 1947 – and in a digital environment since 1997.
- o Dissemination of R&D results is performed by DOE's Office of Scientific and Technical Information (see www.osti.gov).
- o Existing ingest and dissemination tools and infrastructure position DOE for fast and efficient implementation of its public access solution.

The DOE Plan in Practice

DOE STI Program

- OSTI coordinates with POCs across the complex.
- DOE R&D results are:
 - Collected from DOE offices, labs, and facilities, as well as university grantees and financial assistance awardees;
 - Preserved for re-use; and
 - Made accessible via multiple web outlets.
- Interagency and international exchanges/partnerships leverage access and use of DOE R&D results.



Public Access Gateway for Energy and Science

Aligns with OSTP objectives.

PAGES

A Hybrid Approach

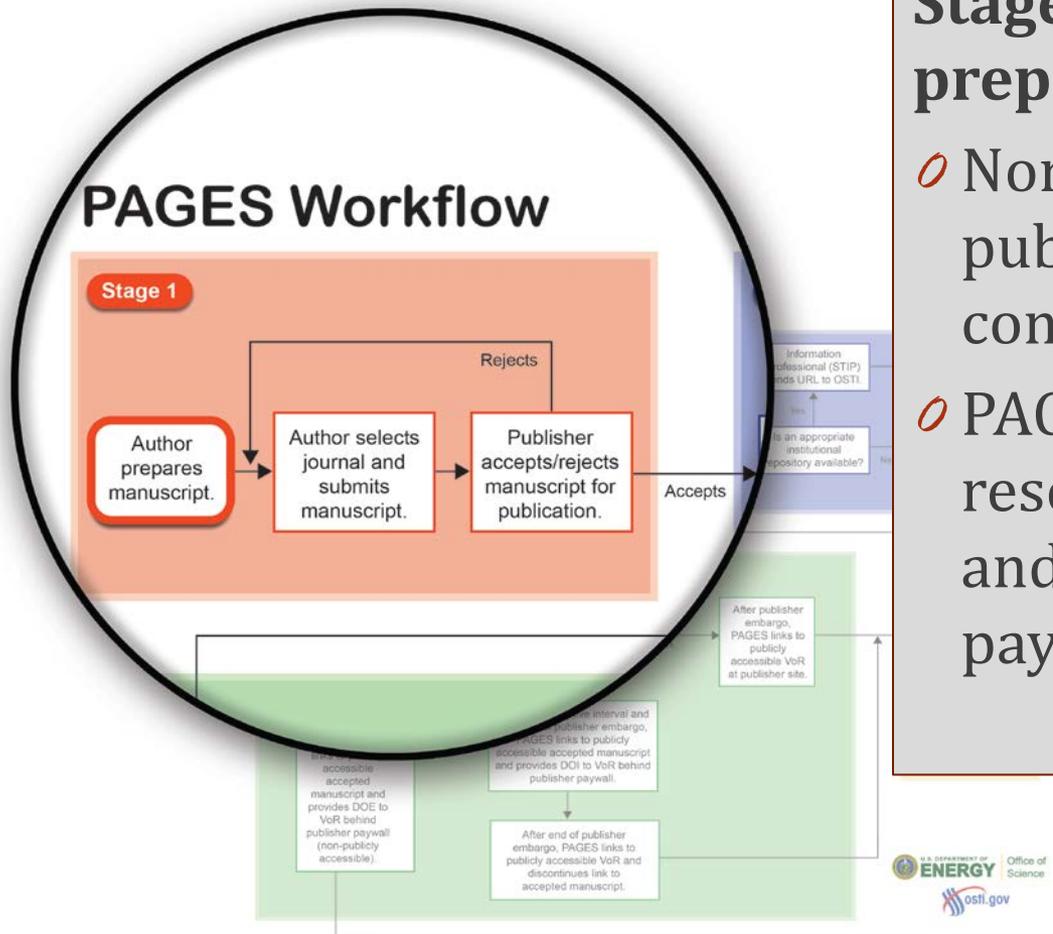
- o Centralized metadata.
- o Decentralized full-text articles and manuscripts, using publisher and DOE/institutional repositories.
- o OSTI successfully uses this model to provide access to other forms of DOE R&D information.

Features:

- o Long-term free access by the public to the “best available version” of peer-reviewed scholarly publications sponsored by DOE.
- o A single search box of all DOE-sponsored research literature.
- o Seamless links to full-text articles on publisher websites or to accepted manuscripts on Lab and grantee repositories.
- o A dark archive (DOE) to ensure long-term preservation and access.
- o A comprehensive metadata collection to fully account for scholarly output.
- o Recognizes the value added by publishers and accommodates flexible publisher business models.
- o Minimizes cost to DOE.

How PAGES works . . . Stage 1

PAGES workflow, costs, and implementation have been extensively detailed.



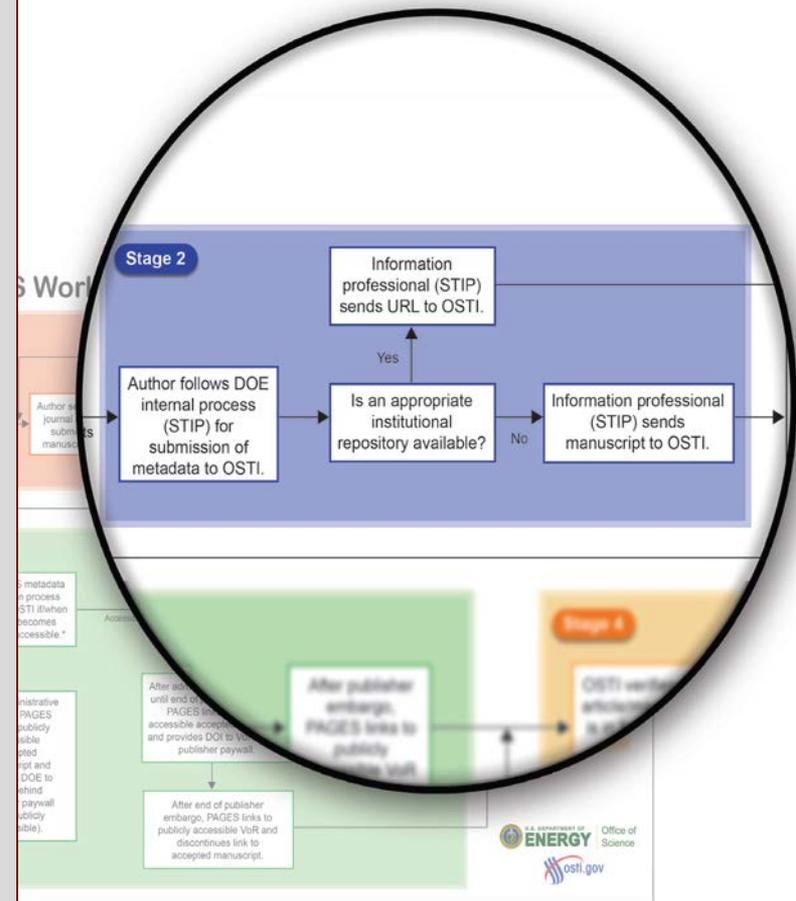
Stage 1: Manuscript preparation/submission

- Normal author and publisher processes continue.
- PAGES does not limit researcher choice of journal and does not involve “author pays” fees.

How PAGES works . . . Stage 2

Stage 2 – Accepted manuscript metadata and link submissions

- PAGES leverages existing DOE infrastructure for collecting other forms of scientific and technical information (STI).
- Lab and grantee points of contact already familiar with submission processes.
- Full text access is primarily distributed through links to institutional repositories.

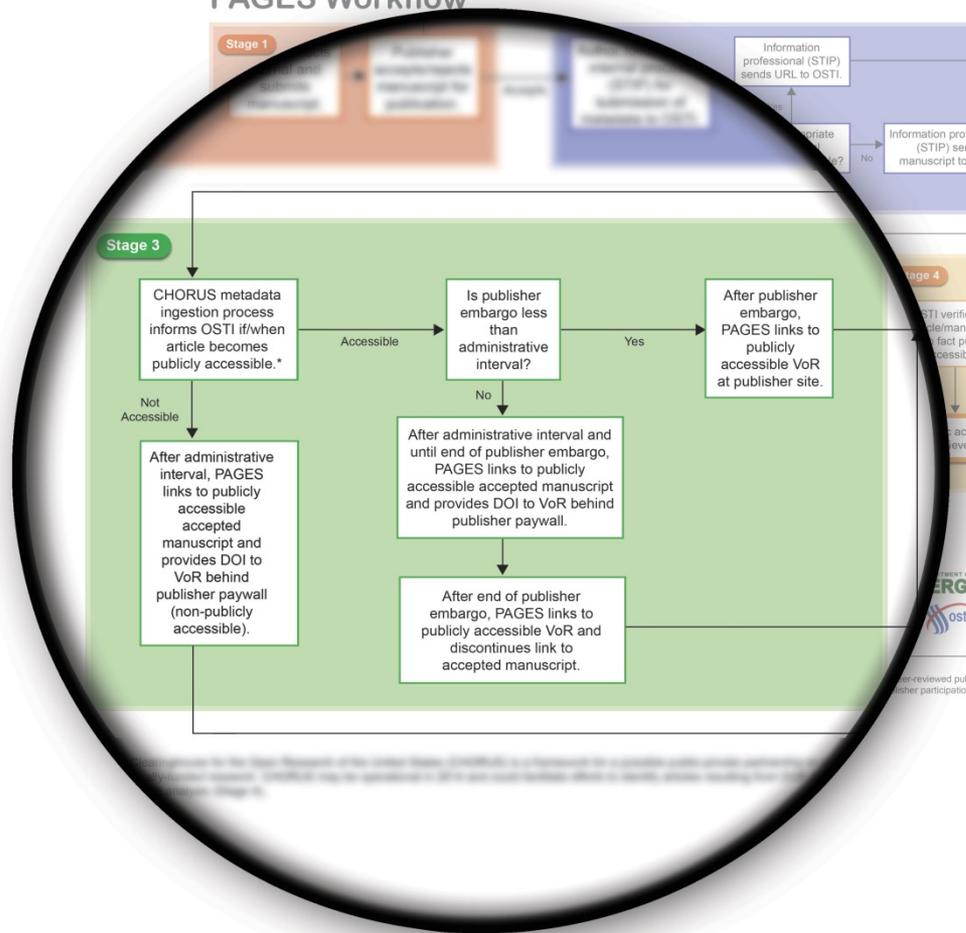


How PAGES works . . . Stage 3

Stage 3 – Public access to article or accepted manuscripts

- Key PAGES premise is to deliver reader to best available version.
- Article is considered the “Version of Record” and preferred over accepted manuscript (AM).
- Where publishers provide article access, PAGES links to article; where article is not accessible, PAGES links to AM.
- Unlike centralized models, publishers are not required to deposit article into PAGES – only the link. PAGES indexes full-text of articles for improved search precision.

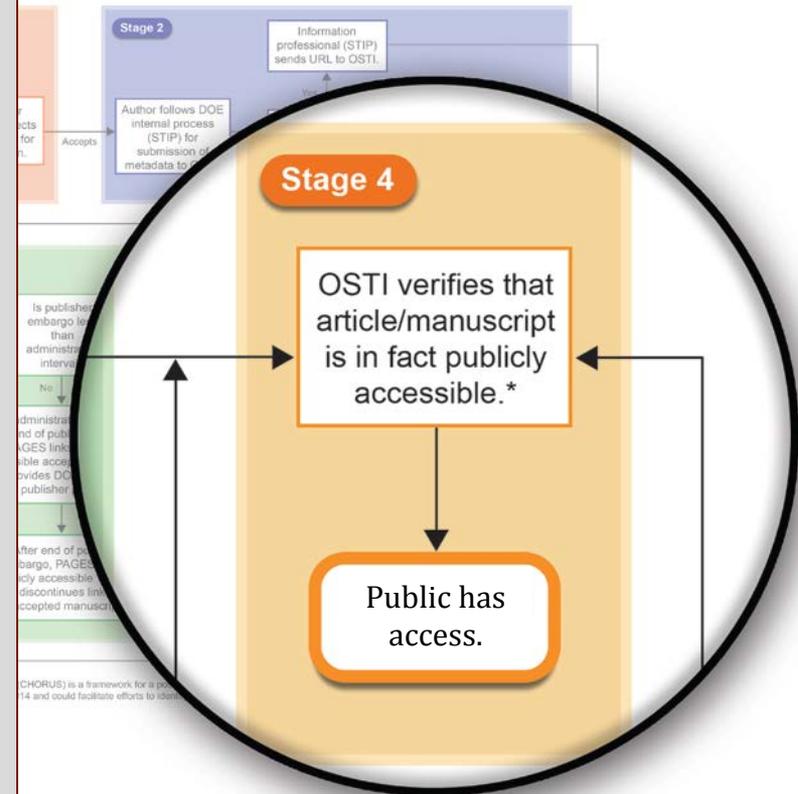
PAGES Workflow



How PAGES works . . . Stage 4

Stage 4 – Quality control and measurement

- PAGES will automatically test links to ensure article/manuscript availability.
- To ensure long-term access and preservation, PAGES will use “dark archive” capabilities to “illuminate” the manuscript if it becomes inaccessible from the publisher or other repository.
- PAGES will use FundRef to identify articles authored by DOE researchers and any gaps in PAGES comprehensiveness.



The CHORUS Option

- OSTP memo encourages “public-private collaboration” and “recognizes that publishers provide valuable services.”
- To support agencies’ public access efforts, publishers have proposed CHORUS– the Clearinghouse for the Open Research of the United States.
- CHORUS offers:
 - A consolidated feed of agency-specific metadata and links to publicly-accessible articles from participating publishers;
 - Increased percentage of articles, versus accepted manuscripts, accessible through PAGES
 - Reduced agency costs by streamlining article access through a single interface.
- DOE currently pilot testing CHORUS data feed on a path to integrating it into PAGES, along with accepted manuscript ingest processes– in keeping with “best available version” approach.
- PAGES can meet DOE public access requirement with or without CHORUS – thanks to existing DOE scientific and technical information processes.

DOE Open Access Plan

DOE is prepared to launch a beta version of PAGES as a pilot demonstration.

- o Will contain searchable metadata and distributed links to full text for ~ 7,000 accepted manuscripts and articles about DOE research.
- o Will allow for public and stakeholder input and feedback.
- o Will be flexible to potential integration of other public access tools (e.g., SHARE – the university-based Shared Access Research Ecosystem).

When the pilot transitions to full production, PAGES content is expected to grow at a rate of 20,000 to 30,000 accepted manuscripts and articles per year.



Conclusion

- Implementing public access is by no means an easy effort . . . and we will certainly be continuously improving PAGES after it launches based on stakeholder feedback.
- However, DOE is poised for a quick and relatively inexpensive implementation because we are leveraging longstanding STI processes and infrastructure with our Labs and grantees.
- Collaboration with CHORUS offers “best available version” – article or accepted manuscript.
- PAGES will provide free public access, for the first time, to taxpayer-supported DOE research results, in the form of 20,000-30,000 articles/manuscripts per year.