

# DOE's Model for Public Access to Scholarly Publications

## Plans and Progress

Jeffrey Salmon  
Deputy Director for Resource Management  
Office of Science  
U.S. Department of Energy  
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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](http://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

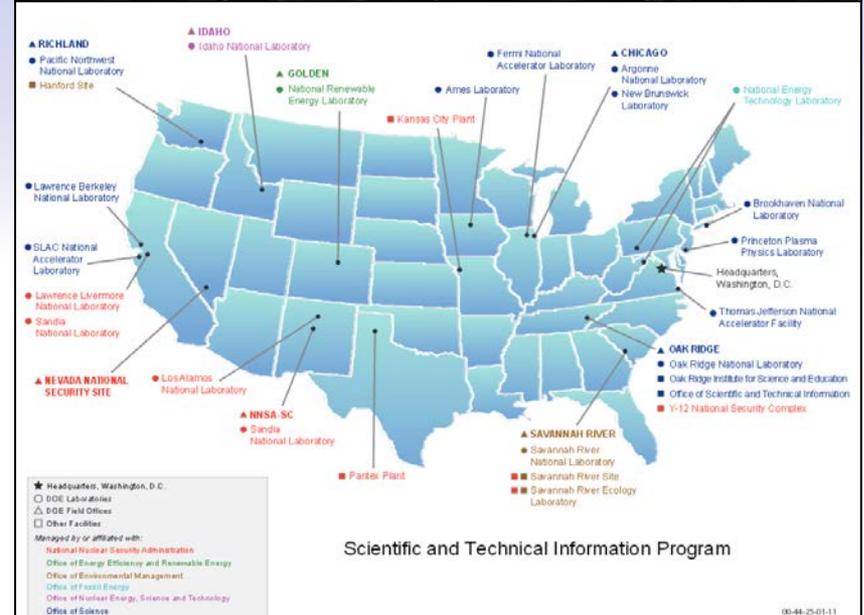
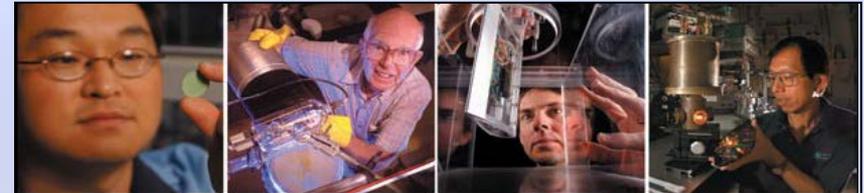
OSTP directed federal science agencies to develop plans for making the results of research they fund publicly available within a year of publication.

- 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](http://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**

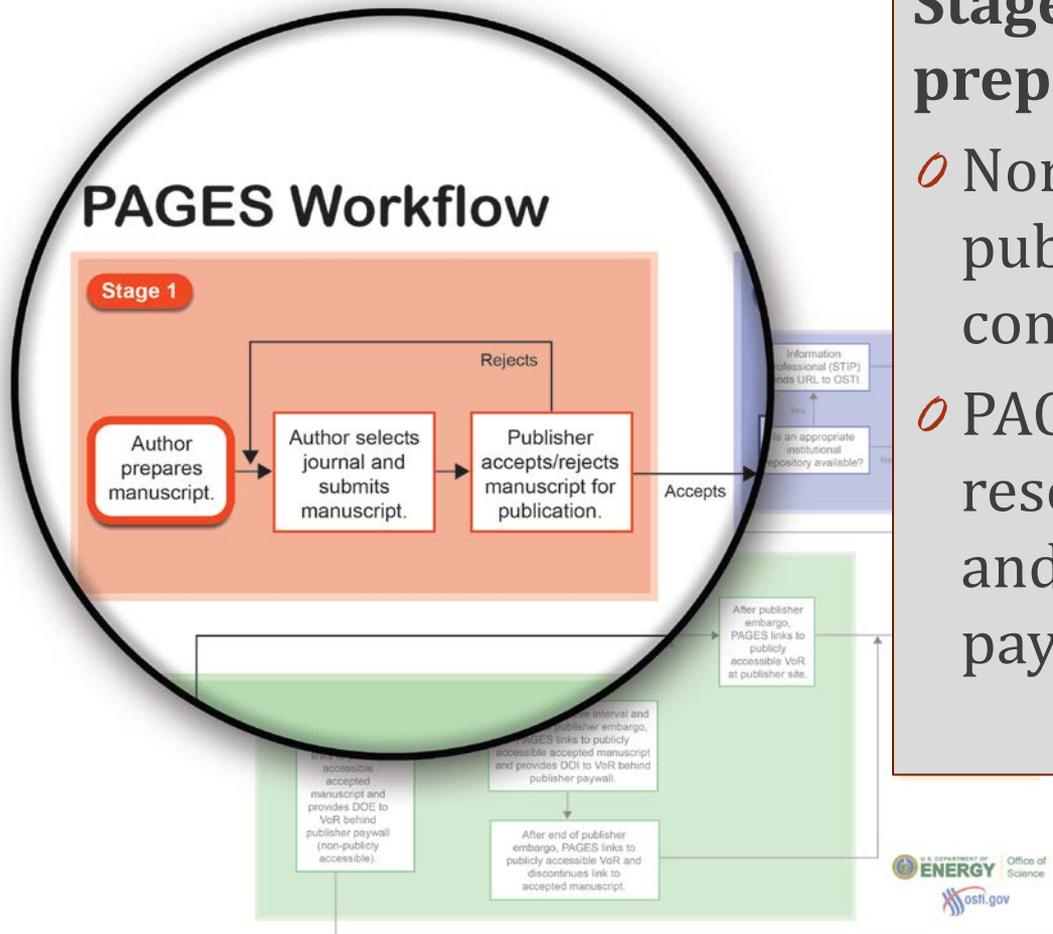
- o Centralized metadata.
- o Decentralized full-text articles and manuscripts, using publisher and DOE/institutional repositories.
- o OSTI successfully uses this model to provide access to other forms of DOE R&D information.

### **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.



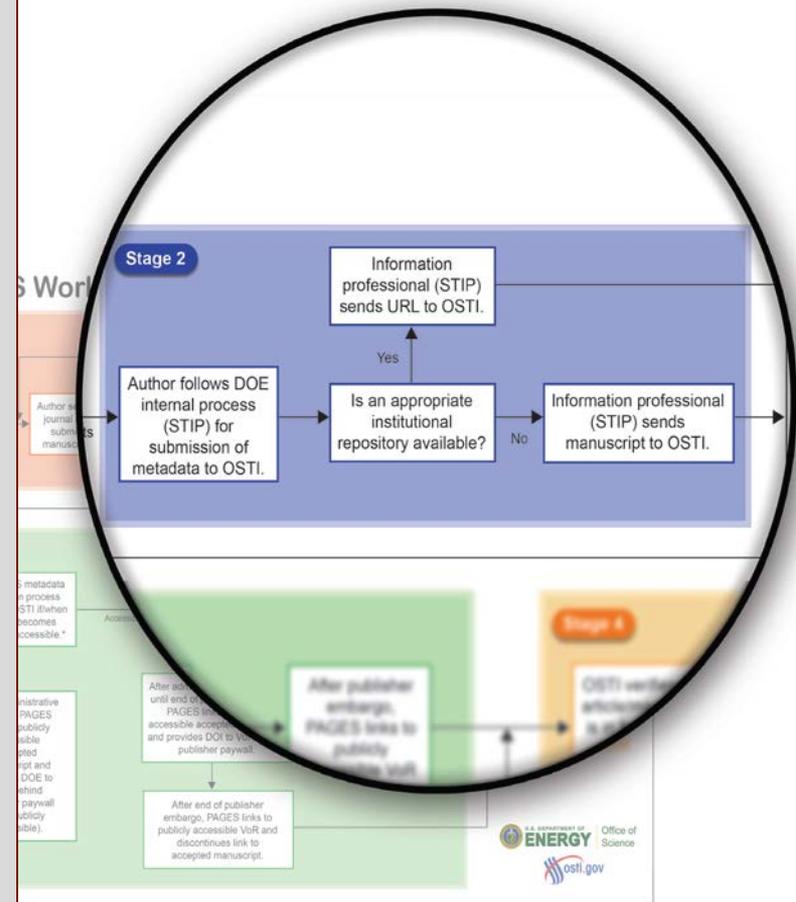
## Stage 1: Manuscript preparation/submission

- 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.

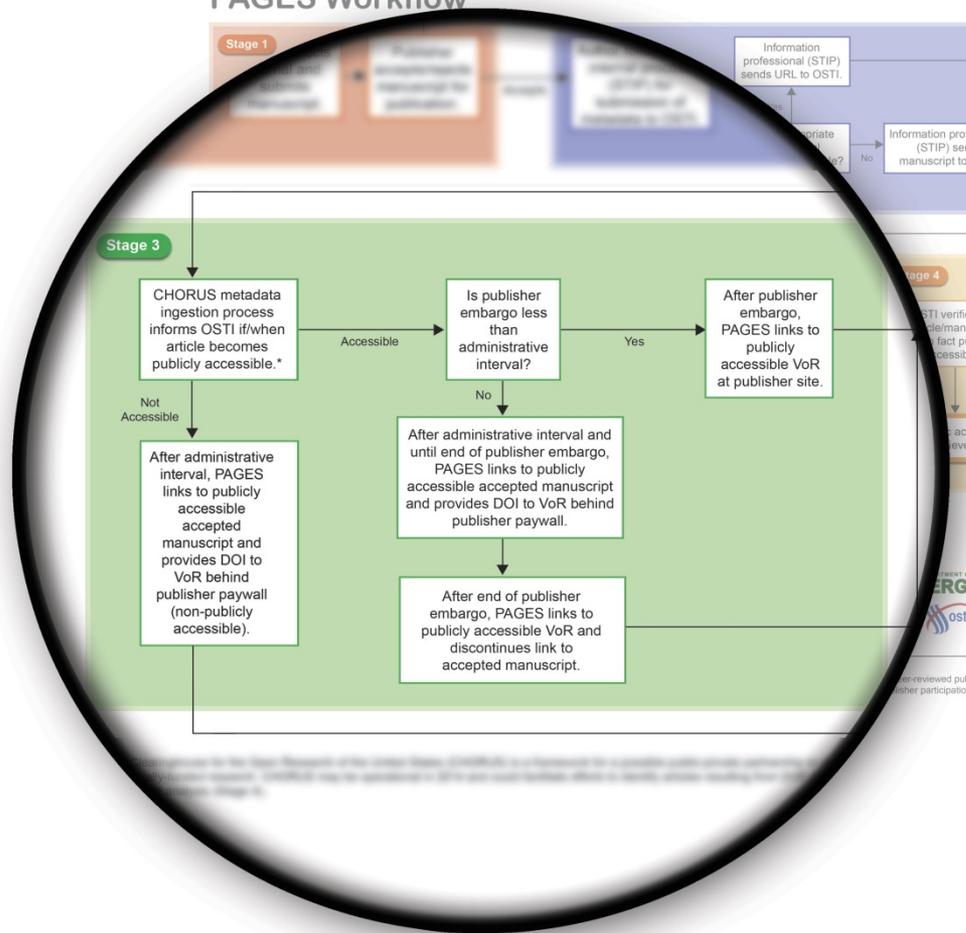


# How PAGES works . . . Stage 3

## 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.

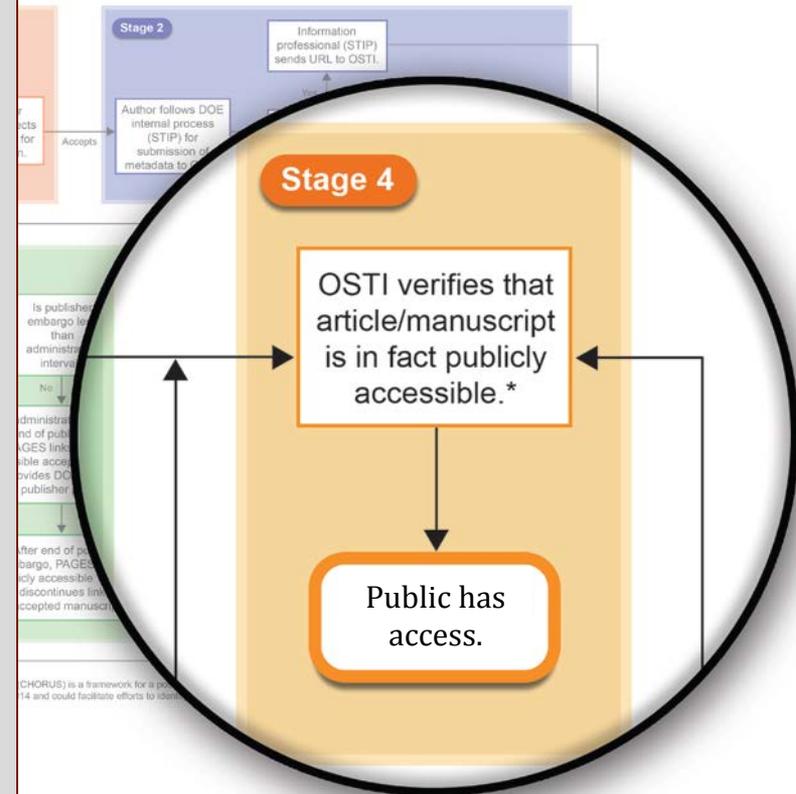
### PAGES Workflow



# 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.