Department of Homeland Security

Plan to Support Increased Public Access to the Results of Research Funded by the Federal Government

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Contents

1   BACKGROUND and PURPOSE

This plan is issued in response to the February 22, 2013 Office of Science and Technology Policy (OSTP) Memorandum for the Heads of Executive Departments and Agencies, "Increasing Access to the Results of Federally Funded Scientific Research."[1] Through this memorandum, OSTP directed all agencies with greater than $100 million in research and development (R&D) expenditures each year to prepare a plan for improving the public's access to the results of federally funded research, specifically peer-reviewed scholarly publications and digital data.

DHS recognizes that increased access to research data and information can encourage research collaboration and help successfully address the nation's constantly evolving homeland security challenges. Increased access to releasable results of DHS research promotes development of a Homeland Security-related industrial base, increases the credibility of associated program managers, subject matter experts, researchers, contracted developers, sponsors and stakeholders in the scientific community. Data sharing provides opportunities for other researchers to review, confirm, or challenge study findings and is an important aspect of the scientific process. In addition, data sharing can enhance scientific inquiry through a variety of other analytic activities, including the use of shared data to test alternative theories or hypotheses; explore different sets of research questions than those targeted by the original researchers; combine data from multiple sources to provide potential new insights and areas of inquiry; and/or conduct methodological studies to advance education research methods and statistical analyses. Consistent with the OSTP memo, DHS intends to make available to the public peer-reviewed scholarly publications and digitally formatted scientific data that are the results of DHS R&D funding.

This plan calls for a systematic and cost-effective implementation of public access and defines a balanced, staged approach by:

- Making results of DHS-funded R&D activities available to the public with the fewest constraints possible while:
  - Protecting privacy and confidentiality of personal information and releasing it only under specific limited exceptions
  - Protecting classified, sensitive, and proprietary information; trade secrets; or other information protected from disclosure by law, regulation, or DHS policy.
- Identifying document and data-sharing mechanisms that can be implemented at reasonable cost.
- Collaborating with others to achieve consistencies where appropriate.

It is the intent of this plan to:
- Encourage public-private collaboration to maximize the potential for interoperability between public and private platforms and creative reuse to enhance value to all stakeholders, avoid unnecessary duplication of existing mechanisms, and maximize the impact of the Federal research investment
- Complement DHS policies and strategic initiatives that enhance innovation and competiveness by maximizing the potential to create new business opportunities in the United States.

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[1] Available at
http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf

Public access as described in this plan allows DHS not only to make available the results of government funded research to the general public but also to enable the operational components and directorates of the department to better share information. Public access enhances new and innovative business processes put in place by the Science and Technology (S&T) Directorate under the umbrella of the Targeted Innovative Technology Acceleration Network (TITAN). TITAN removes barriers that impede industry and research partners from working with the department by leveraging information and other existing resources. Public access to research results and associated data is a necessary and natural piece to those extramural engagements.

This plan outlines DHS's approach for increasing access to the scholarly publications and digital data resulting from its funded research. It will be implemented in close cooperation with other federal and non-federal entities to provide the best solution for DHS and to ensure appropriate consistencies across the federal government. DHS will issue a directive to implement its execution.

2   SCOPE

2.1   Applicability

This plan is subject to law; agency mission; resource constraints; U.S. national, homeland, and economic security; and the objectives listed in the February 22, 2013 OSTP memo noted in section 1 and applies to peer-reviewed journal articles and digital data sets created after the release of this plan that arise from any of several sources:

- A DHS-funded R&D contract, cooperative agreement, or grant.
- A DHS intramural R&D program or project.

This plan will apply to the following individuals and entities:

- DHS employees conducting or funding R&D activities.
- Awardees that engage in DHS-funded research or programs, including but not limited to states, localities, regulated parties, volunteer organizations, contractors, cooperative agreement holders, grantees, cooperating federal government agencies, intergovernmental organizations, and educational institutions.

This plan does not require the disclosure of the following categories of information:

- Data that contains protected proprietary content (e.g., data collected from Small Business Innovative Research (SBIR)-funded programs).
- Data that is subject to International Traffic in Arms Regulations (ITAR) or Export Administration Regulations (EAR).
- Classified information.
- Sensitive information determined to be For Official Use Only information, Law Enforcement Sensitive Information, Sensitive Security Information (SSI), Sensitive but Unclassified information, or Controlled Unclassified Information.

This plan does not apply to research projects begun before the effective date prescribed by this plan or to any contract, cooperative agreement, or grant initiated before the effective date established by the plan. However, the requirements will apply if the publication or digital data set is augmented by federally funded research activities undertaken after the effective date of the plan.

2.2 Definitions

Terms in this document are used as defined in the following:

Office of Management and Budget (OMB) Circular A-110

- Data is defined as the digital recorded factual material commonly accepted in the scientific community as necessary to validate research findings including data sets used to support scholarly publications, but does not include laboratory notebooks, preliminary analyses, drafts of scientific papers, plans for future research, peer review reports, communications with colleagues, or physical objects, such as laboratory specimens.

 DHS Lexicon 2016 Edition

3   REQUIREMENTS

DHS will include standardized language in tasking documents, contract statements of work, interagency agreements, and cooperative agreements and grant proposals to direct researchers (intramural and extramural) to provide public access to the results of DHS-funded research. Implementation of this plan will apply initially to the scholarly publications associated with both intramural and extramural efforts and will go into effect during FY17. Archiving of digital data sets associated with these efforts will be implemented during FY18. DHS plans to have standard department-wide language in place by the end of FY17 to more efficiently manage this process.

3.1   Peer-Reviewed Scholarly Publications

DHS promotes archiving of and public access to peer-reviewed journal articles and digital data that meet the scope of the February 22, 2013 OSTP Memo. DHS will use PubMed Central (PMC), developed and maintained by the National Institutes of Health (NIH)/National Library of Medicine (NLM) as its repository for approved peer-reviewed journal articles and other releasable manuscripts. DHS will ensure that researchers archive, manage, and provide access to peer-reviewed journal articles through the NIH/NLM PubMed Central repository. A federally funded repository allows for lifetime ownership and control of the archived materials that will not exist if the manuscripts are released to publishers to archive.

DHS will require intramural and extramural investigators to ensure that a copy of any final published article or the final peer reviewed manuscript resulting from DHS-funded R&D is submitted to PMC and made freely accessible to the public not later than 12 months after the official date of publication. Language in contracts, grants, and cooperative agreements will specify that final manuscripts be deposited in the approved repository at the time of publication and made publicly accessible not more than 12 months later.

In addition, DHS components and directorates will institute language for new start programs that require researchers to announce their intent to publish articles that apply to this public access plan. This information will allow DHS to track progress and ensure applicable publications are properly gathered and archived.

Use of PMC as its designated repository for publications will allow DHS to meet the following objectives specified in the OSTP Memorandum:

- Ensure that the public can read, download, and analyze in digital format final published documents.
- Facilitate easy public search of, analysis of, and access to peer-reviewed scholarly publications directly arising from research funded by DHS.
- Ensure full public access to publications' metadata without charge.
- Maintain attribution to authors, journals, and original publishers.
- Ensure that the solution archives publications and metadata.
- Ensure that publications are accessible to people with disabilities and compliant with Section 508a of the Rehabilitation Act (29 USC 794d).

3.2 Digitally Formatted Scientific Datasets[2]

DHS will implement policies that will require, at no more than incremental cost and within a reasonable time, public access without charge to digital data sets gathered in the course of work that meet the Scope criteria above.

DHS will require Data Management Plans (DMPs) to be developed for any R&D that collects data. Intramural and extramural researchers will be required to submit DMPs as part of their Program Management Plans (PMPs) or other similar research and program planning documents. DMPs will describe how the proposal conforms to DHS policy on the dissemination and sharing of research results and will be required to include information such as the following:

- Types of data to be produced and collected during the course of the research
- Standards to be used for data and metadata format and content:

    • Standards may vary by research community; ensure the collected data can be recorded in metadata formats for easy retrieval and analysis

- Planned approaches for long-term preservation of and access to data generated by the research, taking into consideration privacy and security, IPR and other legitimate proprietary rights, and the relative costs and benefits of long-term preservation and access
- Policies and provisions for re-use, re-distribution, and the production of derivatives.
- Appropriate protections privacy, confidentiality, security, intellectual property and other applicable rights or established requirements.

In some cases an R&D program may sponsor projects that either a) do not produce datasets (e.g., some kinds of technology development); b) do not produce data that should be shared or preserved (e.g., the costs do not outweigh the benefits); or c) do not produce datasets that can be shared publicly (e.g., for reasons of national security or privacy. Researchers may explain in their DMPs why long-term preservation and access cannot be justified.

In addition, under this plan, DHS will require researchers to deposit their releasable data into a publicly accessible data repository that will be identified by DHS (target date FY18). Any exceptions to use of the

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[2] Note that OMB Memorandum M-13-13, *Open Data Policy - Managing Information as an Asset*, has additional requirements for federal databases. The DHS *Open Government Plan* applies.

designated repository will be considered on an individual basis and should be justified in the DMP proposal.

DHS will develop policies that allow for the archive and management of releasable scientific data sets that complement the management of publically available research manuscripts. DHS will develop standard practices during FY17 with a target for full implementation in FY18.

These policies for access to datasets will have several objectives:

- Establish DHS's commitment to public access to scientific research data.
- Support governance of and best practices for managing digitally formatted scientific data across DHS and the rest of the federal government, thereby improving the public's ability to locate and access the results of federally funded scientific research.
- Ensure effective access to and reliable preservation of DHS-funded digitally formatted scientific data for research, development, and education.
- Ensure that extramural researchers receiving DHS grants, cooperative agreements, and contracts for scientific research and intramural researchers develop DMPs, as appropriate, which describe how they will provide for long-term preservation of, and access to, scientific data in digital format.
- Ensure the expedited translation of research results into knowledge, products, and procedures to improve homeland security.
- Facilitate the education of new researchers and enable the exploration of topics not envisioned by the initial investigators.
- Permit the creation of new datasets when data from multiple sources are combined.

4   AUTHORITY

The U.S. legal and policy landscape promotes access to scholarly publications and digitally formatted scientific data produced in the federal and federally-funded realms. The elements most relevant to public access to scholarly publications and data sets are summarized below:

- The America COMPETES Reauthorization Act of 2010 (ACRA; Pub. L. 111-358), Section 103, outlines the Office of Science and Technology Policy (OSTP) Director's "responsibility to coordinate Federal science agency research and policies related to the dissemination and long-term stewardship of the results of unclassified research, including … peer-reviewed scholarly publications, supported wholly, or in part, by funding from the Federal science agencies."

- The Freedom of Information Act (FOIA; 5 USC 552) provides for public access to the records of the federal government.

- The Office of Management and Budget (OMB) Circular A-130 specifies that "[t]he open and efficient exchange of scientific and technical government information … fosters excellence in scientific research and effective use of federal research and development funds."

- OMB's Memorandum for Heads of Executive Departments and Agencies (M-13-13), *Open Data Policy – Managing Information as an Asset* establishes a framework to help institutionalize the principles of effective information management at each stage of the information's life cycle to promote interoperability and openness.

- The Paperwork Reduction Act (44 USC 35) has as one of its key purposes to "ensure the greatest possible public benefit from and maximize the utility of information created, collected, maintained, used, shared and disseminated by or for the federal government."

5   ROLES and RESPONSIBILITIES

5.1   Under Secretary for Science and Technology (S&T)

- Responsible for developing DHS-wide implementation strategies and policies to implement the plan.

- Coordinate the implementation of this plan and any subsequent revisions with other components of DHS that fund or conduct R&D.

- Coordinate collaboration and cooperation in regard to public access with other federal agencies.

- Evaluate this plan and associated policies and revise as necessary based on input from the broad community of stakeholders. These stakeholders include, but are not limited to, other components within DHS, other federal science agencies, academia, scientific societies, libraries and information management organization, publishers, the private sector, and the public.

5.2   DHS Components

- Collaborate, as appropriate, with S&T in the implementation of this plan and development of the relevant policies.

- Include the requirements of resulting policies as terms and conditions of funding for R&D grants, contracts, and agreements established after the effective date of the final version of this plan.

- Develop practical funding mechanisms to ensure successful implementation.

- Ensure R&D funded by the component complies with policy.

6   IMPLEMENTATION

To implement a public access policy, DHS is adopting a systematic approach that includes multiple phases and objectives.

6.1   Planning

DHS has adopted a systematic approach to implement this public access plan that includes the following:

- DHS has identified components and directorates that conduct research, publish manuscripts and collect complimentary data sets. The S&T Directorate has formed an active working group of these stakeholders to continuously and incrementally improve public access of these materials. The stakeholders perform or acquire research from a wide variety of methods. Types of research include that which is organically conducted within the Department, conducted by associated universities and centers of excellence, contracted performers and government laboratories.

- In accordance with this plan, and in its maintenance and upkeep; the working group will:

- Establish a framework for identification, storage and accessibility of digitally formatted scientific data.

- Ensure the public can discover and download digitally formatted scientific data.

- Maintain attribution to authors, journals, and original publishers.

- Maintaining traceability of peer-reviewed journal articles and published data sets to funding sources and, to the degree feasible, specific funding instruments.

- Ensure the public can search, read, and download the final peer-reviewed manuscripts or published articles from federally funded R&D without charge no later than 12 months following publication

- Ensure full public access to publications' metadata without charge upon first publication in a data format that ensures interoperability with current and future search technology.

- Ensuring the public can search, read metadata, and acquire published data sets at a reasonable time (to be determined) following conclusion of data collection.

- In coordination with other federal agencies and the private sector, support training, education, and workforce development related to scientific data management, analysis, storage, preservation, and stewardship. The education and awareness program should include several resources:
  - Guides to DMPs.
  - Example DMPs.
  - Guide to Journal Article Copyright licenses for Investigators.
  - Guide to reporting submission of articles to journals.

6.2   Peer-Reviewed Scholarly Journal Articles

As noted in section 3.1, DHS has designated PubMed Central, developed and maintained by the National Institutes of Health (NIH)/National Library of Medicine (NLM) as its repository for approved peer-reviewed journal articles and other releasable manuscripts. DHS will use the NIH Manuscript Subscription (NIHMS) System as a mechanism for submitting articles to NIH's PubMed Central repository. NIHMS allows users, such as authors, principal investigators, program managers, researchers, and publishers to submit articles for conversion from manuscript files to XML documents. XML is a standard format used by PubMed Central for long-term preservation and public access. In FY17, DHS S&T will establish an interagency agreement with NIH to establish the submission portal and to manage the archiving and subsequent release of articles, manuscripts to the public.

Selection of PMC was based on a history of best value in the following areas:

- Maturity and proven capability (e.g., immediate accessibility and storage in and industry-standard XML format)

- Low risk; experienced service provider (other agencies are successfully using PMC to implement public access)

- Compliance with Section 508a of the Rehabilitation Act (29 USC 794d) on submitted manuscripts; ensuring the system is accessible to people with disabilities.

  - This will be done on a paper by paper basis, with extra costs borne by DHS via the interagency agreement established through NIH, as necessary.

- Collateral support and established OSTP memo compliance to requirements

DHS will establish a maximum allowable embargo period of 12 months following the date the article is published in a relevant journal until it is made publicly accessible in PMC. DHS will establish a formal stakeholder petition process for changes to this maximum embargo period for publications in a specified field. Stakeholders will submit to DHS components the necessary information to consider the exception, demonstrating that the existing embargo period is inconsistent with the objectives of the OSTP Memo. Petitions will be considered by a DHS working group that will make recommendations to the Under Secretary for S&T. If multiple agencies fund research in that field, DHS may consult with those other agencies in making a determination. While a government-wide consensus on the embargo period in a particular field is desirable in many ways, DHS reserves the right to determine its own policy. Decisions based on these requests will be forwarded to NIH for implementation and follow-on action, as appropriate.

Publications resulting from DHS R&D funding must meet several requirements and are covered by the agreement to use NIHMS. Depositing manuscripts in the PMC repository ensures all of the following are met:

- Be available for download, reading, and analysis within one year of publication.

- Be available in open, machine-readable formats.

- Possess a minimum set of machine-readable metadata elements.

- Be managed to ensure long-term preservation and access.

Each peer-reviewed journal article will be required to include metadata elements, such as the following:

- Unique, persistent ID.

- Author name(s) with associated persistent identifier(s).

- Title and Abstract of article or paper.

- License information.

- Journal or serial title with identifier (ISSN).

- Name(s) of funding agency or agencies with award numbers.

- Encoding of rights and open access status as proposed by NISO/NFAIS.

- Links to the underlying data including but not limited to the supplementary material published with the journal article.

DHS will develop standardized language for tasking documents, contract statements of work, interagency agreements, and cooperative agreements and grant proposals to direct researchers (intramural and extramural) to provide public access to scholarly publications resulting from DHS-funded research. The terms and conditions will also be included in interagency agreements and other documents that establish requirements, funding, and guidance associated with research. DHS authors and funded investigators will be required to deposit their article or manuscript in PMC at the time of publication where it will be made accessible not later than 12 months after the date of publication.

DHS will issue a department-wide directive that will apply these requirements to both intramural and extramural research.

6.3   Digitally Formatted Scientific Data

For data, DHS will explore the costs and benefits of various existing data repositories to store data sets arising from research funded by DHS. DHS will search for and select a compatible and cost effective data set repository during FY 17. The repository will provide for long-term preservation and discoverability of data, as well as a mechanism for providing access to data. Candidate data repositories will include those approved for use by other agencies and will meet the following criteria:

- Use an open architecture and follow industry standards to facilitate open government, including conformance/interoperability with the common core metadata required under the recent Open Data Policy.[3]
- Have the capacity to integrate scholarly publications with appropriate scientific databases.

  - The ability to link to the publications repository to improve discoverability of the data sets will be specifically considered.

- Enable DHS to monitor compliance.
- Allow users to search, retrieve, and analyze results of federally-funded research.
- Allow users access only data to which they are authorized access.
- Within cost constraints, optimize search, archival, and dissemination features that encourage innovation in accessibility and interoperability, while ensuring long-term stewardship of the results of federally funded research.

  - Store, organize, and manage the published data sets and submitted metadata

  - Minimum metadata requirements,

  - Provide persistent identifiers for digital data following commonly used standards for implementation of such identifiers.

- The interaction among the principal investigator, the data repository, and the DHS grant manager to ensure the following:

  - Data meet minimum quality standards.

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[3] OMB Memorandum M-13-13, available at:
http://www.whitehouse.gov/sites/default/files/omb/memoranda/2013/m-13-13.pdf

- Data are appropriately evaluated and secured to prevent disclosure of personally identifiable information; recognize proprietary interests, business confidential information, and intellectual property rights; and avoid significant impact on intellectual property rights, innovation, and U.S. competitiveness.

- Data are licensed in a manner that encourages both access and reuse.[4]

- The ability of the repository to provide long-term access.

DHS will work with NIH to explore ways to improve the linkage between data sets housed the designated DHS data repository and associated journal articles stored in PMC. This will allow data supporting conclusions cited in manuscripts to be more easily discovered.

Datasets that result from R&D activities funded by DHS must meet several requirements that will be finalized in FY17:

- Be deposited such that they are publicly accessible.
- Be available for download, reading, and analysis.
- Be available in open, machine-readable formats.
- Possess a minimum set of machine-readable metadata elements.
- Be managed to ensure long-term preservation.
- Possess a persistent identifier.

DHS will develop a cost-effective approach intended to ensure long-term preservation and accessibility of published data sets through the following:

- Adopting sensible archival formats for published data sets, such as XML. Sensible formats are platform agnostic to facilitate re-use and relatively robust against frequent change to minimize the cost and opportunity for error associated with conversion to new formats.

- Developing practical backup strategies that prevent loss of bit integrity as the archive grows in size.

- Developing practical migration and technology refreshing strategies designed to keep all components of a data product compatible with evolving standards and archival formats that are widely available and, to the extent possible, nonproprietary, for text and associated content (e.g., images, video, and supporting data).

- Encouraging cooperation with the private sector to improve data access and compatibility, including through the formation of public-private partnerships with foundations and other research funding organizations.

- Enabling integration and interoperability with other Federal public access archival solutions and other appropriate archives.

- Providing for the assessment of long-term needs for the preservation of scientific data in fields that DHS supports and outline options for developing and sustaining repositories for scientific data in digital formats, taking into account the efforts of public and private sector entities.

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[4] In accordance with the requirements of OMB Memorandum M-13-13, *ibid*.

- Accomplishing these goals in FY17 by selecting an existing solution used by other federal agencies for similar purposes. This will allow for economies of scale, appropriate and logical sharing of data, and leveraging lessons learned by these other agencies.

DHS will establish standardized language to be included in solicitations for new R&D projects that will require DMPs to be included as part of any proposal or application that will generate or collect data. Similar requirements will be introduced for research conducted by DHS staff. DHS components will modify their procedures to include means to evaluate DMPs as part of their research proposal evaluations. DHS will allow the inclusion of appropriate costs for data management and access, and ensure appropriate evaluation of the merits of submitted data management plans.

DHS will also develop standardized language to be included in terms and conditions of awards to implement the requirement for data sets to be deposited in the DHS-designated repository, or another approved repository.

DHS will coordinate with other Federal departments and agencies, as appropriate, to support training, education, and workforce development related to scientific data management, analysis, storage, preservation, and stewardship.

DHS will issue a department-wide directive that will apply these requirements to both intramural and extramural research.

7 Metrics, Compliance, and Evaluation

The 22 February 2013 OSTP memo requires that science funding agencies "include mechanisms to ensure that intramural and extramural researcher comply with data management plans and policies."

DHS will ensure compliance with extramural data management requirements by requiring, as a term and condition of the grant or contract award, periodic reporting to contracting officer representatives and project officers as a part of regular grants and contract management. Extramural researchers will periodically report the status of publications and research data collection and preservation, including any deviation from the approved DMP required by the extramural award. Non-compliance with the terms and conditions of the award regarding public access may be considered as a negative indicator of past performance and may result in withholding of extramural funding.

For all intramural research, DHS will collect information on publications from our internal clearance processes, relevant research data repositories, metadata directories, other reference sources, and grant, cooperative agreement, and contract reports to assess compliance with this Plan's requirements. This information will also be a useful component for evaluating overall program success.

Projected functionalities will include:

- Metadata on articles submitted to publishers: Authors and Co-Authors, Subject, Title, Date submitted, Status (in peer review, accepted by journal, date set for publication), Date published, Journal title, Copy of author's accepted manuscript, Link to journal (or other established repository) for public and DoD access, Embargo period end date, Public Affairs (PA) and Operations Security (OPSEC) review confirmation.

- Metadata on Digital Data: Summary of Data Management Plan, List of digital datasets identified for access and preservation, Location of preservation archive, Distribution code for each

dataset, Metadata for each dataset identified, Methodology for public access, Compliance status, PA and OPSEC review confirmation.

- Analytics to track compliance:

  • Comparison to technical reports database;

  • Comparison to the research in progress database;

  • Testing to determine that data sets are available;

  • Public access statistics on published articles;

  • Public access statistics on data sets;

  • Analysis of data sets exempted for national security, economic, and privacy reasons;

  • Comparison of data sets exempted to articles submitted;

  • Testing that data sets do not contain personally identifiable information (PII) and are approved for public release; and

  • Reminders to investigators/authors.

8   Public Consultation Experience

DHS participated in all four days of the Public Comment Meeting concerning Public Access to Federally Supported R&D Publications and Federally Supported R&D Data held on 14-17 May 2013 at the National Academy of Sciences. DHS also participated at the OSTP-sponsored meeting with publisher representatives on 15 May 2013. Working in consultation with stakeholders; including other federal organizing bodies, researchers and research institutions, libraries, publishers, users of Federally-funded research results, and civil society groups; DHS will continue to maintain and improve this public access plan and related policies.

9   Interagency Coordination

DHS has collaborated with other federal agencies in OSTP-sponsored Interagency Working Groups related to this effort, both for peer reviewed journal articles and digital data sets. DHS S&T is an active member of CENDI, an interagency working group of senior scientific and technical information (STI) managers from 15 U.S. federal agencies. Member capabilities are shared and challenges are faced together so that the sum of accomplishments is greater than each individual agency can achieve on its own. DHS intends to continue to actively collaborate with other federal agencies to benefit from the lessons learned by others and establish appropriate consistency of policies.

10 Update and Re-Evaluation of the Plan

DHS S&T will conduct an evaluation of accomplishments of activities called for in this plan in annually in August. The plan, associated policies, and directives will be modified as appropriate, in consultation with OSTP.

11 Timeline for Implementation

The systematic and deliberate approach to implementation of public access that takes full advantage of the lessons learned by our federal partners includes the following timeline:

FY17 – Q1:
- OSTP Review of DHS plan complete; plan approved for implementation
- DHS Interagency Agreement in place with NIH for PMC hosted publication repository

FY17 – Q2:
- DHS Working Group research options for data set repository
- DHS S&T draft Management Directive to implement approved plan; coordinate department-wide review
  - Develop/update/finalize language for contract solicitations, grants, and agreements that direct use of publication and data set repositories

FY17 – Q3:
- Implementation begins; publications resulting from new research projects will be subject to new public access requirements.

FY17 – Q4:
- Select data set repository; develop associated implementation plan

DHS will submit semi-annual reports on progress and implementation to OSTP as directed.

12 Resources

The 22 February 2013 OSTP memorandum requires this effort be done "within the existing agency budget" (emphasis in original). Policy implementation will require upfront investments and some maintenance costs. Costs that are individually attributable to specific contracts or grants (e.g., the costs associated with long-term data preservation and access) may be included in the budgets associated with those contracts or grants.

13 Additional Information

The following resources provide additional public access policies and guidance:

- Memorandum for the Heads of Executive Departments and Agencies – Open Government Directive, Executive Office of the President, Office of Management and Budget, December 8, 2009: http://www.whitehouse.gov/omb/assets/memoranda_2010/m10-06.pdf

- National Digital Information Infrastructure & Preservation Program: A Collaborative Initiative of the Library of Congress: http://www.digitalpreservation.gov/

- NIH Public Access: http://publicaccess.nih.gov/

- Open Government Directive, Memorandum for the Heads of Executive Departments and Agencies, M-10-06 (Dec 8, 2009): http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_2010/m10-06.pdf

- Planets – Preservation and Long-Term Access through Networked Services. Open Planets Foundation: http://www.planets-project.eu/

- Public Access to Scholarly Publications Policy Objectives – Interagency Working Group (March, 2012): http://www.whitehouse.gov/sites/default/files/microsites/ostp/public_access-final.pdf

- Scholarly Publishing Roundtable, Report and Recommendations from the Scholarly Publishing Roundtable (2009): http://www.aau.edu/policy/scholarly_publishing_roundtable.aspx?id=6894

- Executive Order 13642 "Making Open and Machine Readable the New Default for Government Information," May 09, 2013: https://www.federalregister.gov/articles/2013/05/14/2013-11533/making-open-and-machine-readable-the-new-default-for-government-information
- OMB Memorandum "Open Data Policy-Managing Information as an Asset," May 9, 2013: http://www.whitehouse.gov/sites/default/files/omb/memoranda/2013/m-13-13.pdf