April 8, 2015

Dear House and Senate Appropriations Committees:

This letter is submitted in fulfillment of the requirement in Division B of the Joint Explanatory Statement for the Consolidated and Further Continuing Appropriations Act, 2015 for the Office of Science and Technology Policy (OSTP) to report to the Committees on progress in developing and implementing policies on increasing public access to the results of federally funded scientific research. Specifically, it describes the progress that Federal Departments and Agencies have made in response to a policy memorandum issued by OSTP in February 2013 on *Increasing Access to the Results of Federally Funded Scientific Research* and updates my November 2014 report to you on this topic.

In my November 2014 update to the Committees, I provided details on the continued progress Departments and Agencies had made, and expanded upon the steps we are taking with them beyond the directive to increase public access to the results of federally funded scientific research, in particular to research data. I am happy to report that Departments and Agencies have made tremendous progress since November. To date, OSTP and OMB have given final approval to fourteen Departments and Agencies' public access plans. Thirteen of those plans are now publically available (see Appendix A). The remaining approved plan is going through final legal review at the Department of Transportation and should be released in the coming weeks. Six Departments and Agencies have not received final approval for their plans, although three of those Agencies recently resubmitted their plans to OSTP and we hope to be able to give final approval to these plans shortly.

Each plan details timelines for implementation and funding information for implementation. Plans are at various states of implementation across the Departments and Agencies, but we have asked that all have their public access and data management plan requirements in place for grants, contracts, and intramural research projects by January 1, 2016. Several Departments and Agencies have already implemented or are in the process of implementing the requirements.

Departments' and Agencies' publication and data management plan systems are intended to evolve to best meet the needs of the public based on experience gained. We therefore anticipate the implementation details to change over time to meet the needs of the scientific community and public. One of the most important opportunities ahead is for Departments and Agencies to work with the private sector to increase access to the results of ALL scientific research results, regardless of whether they are funded by the Federal government or not. That evolution is happening in the scientific community and publishing industry and we are encouraging agencies to work closely with the private sector to achieve this vision. Several Departments and Agencies have taken proactive steps to require all funded researchers to make the data underlying scientific publications available for free at the time of initial publication. This is the direction that we believe all scientific agencies should head, and are working with agencies to accelerate progress on that front.
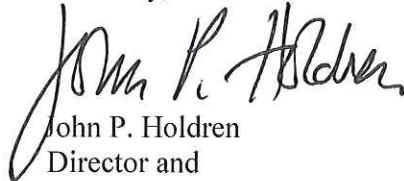
OSTP has not required agencies to produce a detailed accounting of the costs of implementing the policy. In the February 2013 Memorandum, agencies were asked to identify "resources within the existing agency budget." Beyond that requirement, we have refrained from requiring detailed budget breakdowns detailing how agencies choose to implement the policy. Thus we do not have cumulative cost estimates for implementation.

Legacy archive systems have been adapted by several agencies, including USDA and DOD, to fulfill their publication archive requirements. Others have chosen to use existing archive systems developed by other agencies. For example, NASA, VA, and all five HHS agencies covered by the public access policy will be using the NIH PubMed Central system for their publication archiving. NSF will be using the DOE PAGES system for implementation. This kind of coordination has taken time to arrange, but in the long run will reduce redundancy and save money. No Agency has elected to build a completely new system to fulfill its public access requirements.

Agencies can choose to request more funding in their budgets for implementing their plans. Some Departments and Agencies may also request additional funding for efforts that go beyond the requirements of the plan, for example, for increasing access to the data underlying the conclusions of scientific research papers and for data services.

It is our goal over the next quarter to work with Agencies to expand access to the data underlying scientific publications resulting from federally funded research. We would be happy to discuss the extraordinary opportunities for making scientific research data available and our plans for this new phase of increasing access to scientific research results.

Sincerely,

John P. Holdren
Director and
Assistant to the President for Science and Technology

Appendix A. List of Federal Department and Agency Public Access Plans

Department of Agriculture
http://www.usda.gov/documents/USDA-Public-Access-Implementation-Plan.pdf

Department of Defense
http://www.dtic.mil/dtic/pdf/DoD_PublicAccessPlan_Feb2015.pdf

Department of Energy
http://energy.gov/downloads/doe-public-access-plan

Department of Health and Human Services
http://www.hhs.gov/open/public-access/

> Agency for Healthcare Research and Quality
> http://www.ahrq.gov/funding/policies/publicaccess/index.html
>
> Office of the Assistant Secretary for Preparedness and Response
> http://www.phe.gov/Preparedness/planning/science/Pages/AccessPlan.aspx
>
> Centers for Disease control and Prevention
> http://www.cdc.gov/od/science/index.htm
>
> Food and Drug Administration
> http://www.fda.gov/ScienceResearch/AboutScienceResearchatFDA/ucm433459.htm
>
> National Institutes of Health
> http://grants.nih.gov/grants/NIH-Public-Access-Plan.pdf

Department of Veterans Affairs
http://www.research.va.gov/resources/policies/public_access.cfm

National Institute of Standards and Technology
http://www.nist.gov/data/upload/NIST-Plan-for-Public-Access.pdf

NASA
http://science.nasa.gov/media/medialibrary/2014/12/05/NASA_Plan_for_increasing_access_to_results_of_federally_funded_research.pdf

National Oceanic and Atmospheric Administration
http://docs.lib.noaa.gov/noaa_documents/NOAA_Research_Council/NOAA_PARR_Plan_v5.04.pdf

National Science Foundation

http://www.nsf.gov/news/special_reports/public_access/