October 31, 2016

Dear Senate and House Appropriations Committees:

This letter is submitted in fulfillment of report language incorporated by reference in Division B of the Explanatory Statement for the Consolidated Appropriations Act, 2016, Public Law No. 114-113. That statement directs the Office of Science and Technology Policy (OSTP) to report on progress at each Federal department and agency in developing, finalizing, and implementing a plan to increase public access to the results of Federally-funded scientific research. This letter provides an update since my July 2016 report to you on the progress that Federal departments and agencies have made in response to an OSTP policy memorandum issued in February 2013 on *Increasing Access to the Results of Federally Funded Scientific Research.*[1]

The February 2013 OSTP memorandum directed each Federal agency with more than $100 million in annual expenditures for conduct of research and development to develop a plan to support increased public access to the results of Federally-funded research, specifically to scholarly publications and digital data resulting from such research. Since my last report to you in July, three departments and agencies, the Department of Education, Agency for International Development, and Office of the Director of National Intelligence have completed their public access plans and are preparing them for posting on their open government websites. As of today, nineteen Federal departments and agencies have completed their public access plans. A list of completed plans is contained in Appendix A and is also available online.[2] OSTP and OMB are actively engaged with two remaining departments and agencies, the Department of Homeland Security (DHS) and Environmental Protection Agency (EPA), to bring their public access plans to completion. Both DHS and EPA submitted revised plans to OSTP in October 2016 and are now working to finalize the document.

Departments and agencies with approved plans are making steady progress in policy implementation. Sixteen agencies now require public access to publications resulting from all newly funded research, and two additional agencies have begun phasing-in such requirements across their research portfolios.[3] Thirteen agencies now require data management plans for all new research projects (intramural and extramural), and three additional agencies have begun phasing-in such requirements across their research portfolios. Departments and agencies have developed training and communications materials to assist affected researchers in understanding and meeting these new requirements. Departments and agencies are also engaging in various outreach activities with affected stakeholders.

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[1] See https://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf.
[2] See http://www.cendi.gov/projects/Public_Access_Plans_US_Fed_Agencies.html.
[3] A list of implementation dates for department and agency public access plans is available at http://www.cendi.gov/projects/Public_Access_Plans_US_Fed_Agencies.html#AwardDates.

Significant progress has also been made in establishing necessary technical infrastructure to support public access. All agencies with completed public access plans have designated repositories for preserving and providing public access to publications resulting from funded research. The most recently announced is the U.S. Geological Survey (USGS) Publications Warehouse. In addition, even as it completes its public access plan, the EPA has signed an interagency agreement with the National Library of Medicine to use PubMed Central as the repository for publications resulting from its funding.

Departments and agencies are also making progress with the preservation and accessibility of digital data resulting from their funded research. For example, the Department of Veterans Affairs received 1,677 data management plans as part of new funding applications since its new requirements went into place in January 2016. USGS released the first version of its Data Release Workbench, a web-based application to provide funded scientists with access to data management and discovery tools and assistance in navigating through the stages of a data release. The National Oceanic and Atmospheric Administration's dataset identifier project has issued more than 587 digital object identifiers for datasets archived at the National Centers for Environmental Information, enabling the unambiguous citation of data used to support research results. The National Aeronautics and Space Administration (NASA) launched a new NASA-Funded Research Results portal in August to provide one-stop shopping for research articles and data resulting from NASA-funded research.

Departments and agencies are expected to continue to improve their policies and procedures for increasing access to scholarly publications and digital data as they gain more experience. OSTP has convened a series of interagency meetings in recent months to coordinate policy implementation and technology development across agencies and promote collaboration in addressing common challenges. To formalize this process and help guide future efforts to improve access to the results of Federally-funded research, the National Science and Technology Council's Committee on Science recently established a new Interagency Working Group on Open Science (IWGOS). The IWGOS will build upon progress to date and facilitate interagency coordination and cooperation on topics of common interest. It will identify additional steps agencies can take to improve the preservation, discoverability, accessibility, and usability of the full range of outputs of, and data supporting, Federally-funded scientific research.

In the February 2013 OSTP memorandum, departments and agencies were asked to identify "resources within the existing agency budget" to implement their plans. Beyond that request, OSTP has not required budget breakdowns detailing how departments and agencies choose to implement the policy. Therefore, OSTP does not have cumulative cost estimates for implementation. Departments and agencies may request more funding in their budgets for implementing their plans, and some departments and agencies may also request additional funding for efforts that go beyond the requirements of the plan (e.g., for increasing access to the data underlying the conclusions of scientific research papers and for data services).

OSTP remains committed to working with departments and agencies to finalize the remaining public access plans and support effective implementation of agency policies and procedures. OSTP will continue to coordinate agency efforts and seek opportunities to further expand access to the scientific publications and data resulting from Federally-funded research.

Sincerely,

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

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

Department of Agriculture (November 2014)
http://www.usda.gov/documents/USDA-Public-Access-Implementation-Plan.pdf

Department of Defense (February 2015)
http://www.dtic.mil/dtic/pdf/dod_public_access_plan_feb2015.pdf

Department of Education (October 2016)
https://ies.ed.gov/funding/pdf/EDPlanPolicyDevelopmentGuidanceforPublicAccess.pdf

Department of Energy (July 2014)
http://energy.gov/sites/prod/files/2014/08/f18/DOE_Public_Access%20Plan_FINAL.pdf

Department of Health & Human Services
http://www.hhs.gov/open/public-access-guiding-principles/index.html

   Administration for Community Living (February 2016, publications only)
   http://www.acl.gov/programs/NIDILRR/docs/ACL-PublicAcccessPlan-Jan2016.pdf

   Agency for Health Research & Quality (February 2015)
   http://www.ahrq.gov/funding/policies/publicaccess/index.html

   Assistant Secretary for Preparedness & Response (February 2015)
   http://www.phe.gov/Preparedness/planning/science/Pages/AccessPlan.aspx

   Centers for Disease Control (January 2015)
   http://www.cdc.gov/od/science/docs/Final-CDC-Public-Access-Plan-Jan-2015_508-Compliant.pdf

   Food & Drug Administration (February 2015)
   http://www.fda.gov/downloads/ScienceResearch/AboutScienceResearchatFDA/UCM435418.pdf

   National Institutes of Health (February 2015)
   http://grants.nih.gov/grants/NIH-Public-Access-Plan.pdf

Department of Transportation (November 2015)
https://www.transportation.gov/mission/open/official-dot-public-access-plan-v11

Department of Veterans Affairs (March 2015)
http://www.va.gov/ORO/Docs/Guidance/VA_RSCH_DATA_ACCESS_PLAN_07_23_2015.pdf

Agency for International Development (October 2016)

National Aeronautics and Space Administration (November 2014)
http://www.nasa.gov/sites/default/files/atoms/files/206985_2015_nasa_plan-for-web.pdf

National Institute of Standards & Technology (April 2015)
http://www.nist.gov/data/upload/NIST-Plan-for-Public-Access.pdf

National Oceanic and Atmospheric Administration (February 2015)
http://docs.lib.noaa.gov/noaa_documents/NOAA_Research_Council/NOAA_PARR_Plan_v5.04.pdf

National Science Foundation (March 2015)
http://www.nsf.gov/pubs/2015/nsf15052/nsf15052.pdf

Office of the Director of National Intelligence (October 2016)

Smithsonian Institution (August 2015)
http://public.media.smithsonianmag.com//file_upload_plugin/1f143b54-a9f9-4746-bef5-1c76151e3c7a.pdf

U.S. Geological Survey (February 2016)
http://www.usgs.gov/quality_integrity/open_access/downloads/USGS-PublicAccessPlan-APPROVED-v1.03.pdf