Library Support for Federally-Funded Scholarship

Will Cross
ASERL Webinar
March 21, 2014
Road Map

• Rise of mandates and NIH as model

• Case Study: Support at NCSU

• Mandates beyond NIH – OSTP and omnibus spending bill

• Next steps - your role on campus
Why Mandates Matter

For Researchers       For Libraries      For Taxpayers
NIH Leading the Way

“all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine’s PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication.”

- U.S. Consolidated Appropriations Act, 2008
How It Works

Author/PI receives NIH funding

Author/PI creates MyNCBI account

Author/PI receives NIH funding

Author/PI submits peer-reviewed article

Publisher submits published article (A or B)

Publisher submits final manuscript (D)

Author/PI submits final manuscript (C)

NIH Public Access
NIH Manuscript Submission System

Author/PI approves submission (2 times)

PMC
US National Library of Medicine
National Institutes of Health

Links between

Contrans/Links to

PubMed

My NCBI — My Bibliography

Use to:
• Manage Compliance!
• Generate publication section of PHS 2590

Link grant and publication information PI must link accounts!

http://guides.mclibrary.duke.edu/nihpapcompliance
An Evolving Mandate . . .
Case Study: Support at NCSU

Diversity of NIH Funding at NCSU
Putting the Team Together

- Staff needed
  - National Institutes of Health
  - NCBI
  - Publisher-Deposit
  - Research Admin
  - Authors

- Time invested
  - Gather
  - Analyze
  - Communicate
  - Compliance
  - Resolving Issues
  - Training

Follow-up

Journal stack courtesy of Cal State Univ, Fullerton Library
Early Communication Efforts

• Who are the stakeholders?

• Engaging staff

• Updating online information

• Outreach to top level—limited uptake
Road Toward Compliance

NCSU’s NIH-funded articles since 2008 = 1,066

Not in PMC = 340

Journal policies reviewed = 230

Publisher-Mediated Deposit = 220

Author-Mediated Deposit = 120
Working with Publishers

NIH-funded articles

Varying journal policies

Varying publisher policies

Journal

Varying journal policies

Journal

Journal DOES or DOESN’T follow-through on submission

Author Approves Submission

NIHMS/PMC

NIHMS/PMC
Working with Authors & Research Officers

- Burden falls to authors
- Research officers opportunity
- Public Compliance Report (PACR)
- 60 articles not tracked by NIH
Lessons Learned

• Researchers
  – Incentives
  – Follow-through
  – Collaboration/workflow

• Publishers
  – Understanding
  – Follow-through

• NIH
  – Policy
  – Workflow
  – Understaffed
Benefits

• Build relationships with researchers

• Support OA

• Work with publishers – and identify the good and bad actors

“Speak my language”
Expanding Public Access to the Results of Federally Funded Research

Posted by Michael Stobbinson on February 22, 2013 at 12:04 PM EDT

The Obama Administration is committed to the proposition that citizens deserve easy access to the results of scientific research their tax dollars have paid for. That’s why, in a policy memorandum released today, OSTP Director John Holdren has directed Federal agencies with more than $100M in R&D expenditures to develop plans to make the published results of federally funded research freely available to the public within one year of publication and requiring researchers to better account for and manage the digital data resulting from federally funded scientific research. OSTP has been looking into this issue for some time, soliciting broad public input on multiple occasions and convening an interagency working group to develop a policy. The final policy reflects substantial inputs from scientists and scientific organizations, publishers, members of Congress, and other members of the public—over 85 thousand of whom recently signed a We the People petition asking for expanded public access to the results of taxpayer-funded research.

To see the new policy memorandum, please visit: https://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf

To see Dr. Holdren’s response to the We the People petition, please visit: https://petitions.whitehouse.gov/responses/increasing-public-access-results-scientific-research

Michael Stobbinson is Assistant Director for Biotechnology at OSTP
Plans Must Include:

- a strategy for leveraging existing archives, where appropriate, and fostering public-private partnerships with scientific journals

- a strategy for improving the public’s ability to locate and access content

- an approach for optimizing search, archival, and dissemination features that encourages innovation in accessibility and interoperability, while ensuring long-term stewardship

- a plan for notifying awardees of their obligations

- an agency strategy for measuring and, as necessary, enforcing compliance with its plan
The Big Questions

- Infrastructure
- Gatekeepers
- Data
CHORUS: ClearingHouse for Open Research of the United States

- Publishers create and support a new domain, CHORUS.gov, with agency input

- Publishers deposit metadata via CrossRef and FundRef for papers with relevant funding

- Users can search and discover papers directly from CHORUS.gov or via any integrated agency site

- Users retrieve paper directly from the publishers’ sites using the version of record
SHARE: SHared Access Research Ecosystem

- Manuscript submitted and processed as normal

- Journal or author submits XML version of the final peer reviewed manuscript to the PI’s designated repository

- Upon ingest, designated SHARE repositories make abstracts and metadata available to search engines and other discovery tools.

- During embargo repository will link to the publisher’s website. Full text available upon expiration.
Rolling SHARE out

Phases of SHARE

PHASE FOUR
- Data Curation
- Linked Data
- Shared Distributed Resources in Digital Repositories

PHASE THREE
- Text and Data Mining
- Semantic Data
- APIs
- Bulk Harvesting
- ResourceSync
- Open Annotation

PHASE TWO
- Submission Workflow
- Usage Metrics
- Reporting
- Incorporation of OAI-ORE
- Certification
- Adoption of Best Practices

SHARE is operational for article deposit and access when Phase 1 is completed

PHASE ONE
- PI Identifier
- Award Number
- Publication ID
- Data Set ID
- Copyright Licensing
- Sponsoring/Funding Agency Name
- Reporting
- Core Usage Statistics
- Metadata Exposed to Search Engines
- SWORD
- OpenURL

REQUISITE CONDITIONS
- Principal Investigator (PI) Identifier
- Award Identification Number
- Copyright Licensing Assignment
- Digital Repository Designation ID Number
- Preservation Rights
Don’t Forget the Classics!
Try This At Home!
We Know a Little Bit . . .

- Existing Infrastructure
- No federal $ needed
- Embargos remain
- Central site vs. metadata search
- Articles “in context” vs. on demand
- Reading vs. “true” OA (text and data mining, interoperability, etc.)

But many questions remain unanswered:
From Directive to Law

JANUARY 13, 2014

RULES COMMITTEE PRINT 113-32

HOUSE AMENDMENT TO THE SENATE

AMENDMENT TO THE TEXT OF H.R. 3547

[Showing the text of the Consolidated Appropriations Act, 2014]

1 SECTION 1. SHORT TITLE.

2 This Act may be cited as the “Consolidated Appropriations Act, 2014”.

3 SEC. 2. TABLE OF CONTENTS.

4 The table of contents of this Act is as follows:

See. 1. Short Title.
See. 2. Table of Contents.
See. 3. References.
See. 4. Explanatory Statement.
See. 5. Statement of Appropriations.
See. 6. Availability of Funds.
See. 8. Launch Liability Extension.

DIVISION A—AGRICULTURE, RURAL DEVELOPMENT, FOOD AND DRUG ADMINISTRATION, AND RELATED AGENCIES APPROPRIATIONS ACT, 2014
Questions?
Sources

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