UNITED STATES DEPARTMENT OF COMMERCE
CHIEF SCIENTIST
Washington, D.C. 20230

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MEMORANDUM FOR: Research Council Members
For dissemination to Line Offices

FROM: Richard W. Spinrad, Ph.D.
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SUBJECT: NOAA Public Access Policy for Scholarly Publications

In accordance with the White House Office of Science and Technology Policy Memorandum *Increasing Access to the Results of Federally Funded Scientific Research*, the National Oceanic and Atmospheric Administration (NOAA) drafted a plan for increasing Public Access to Research Results (PARR) in early 2015 (http://dx.doi.org/10.7289/V5F47M2H). This plan describes the activities that will be undertaken by NOAA to increase public accessibility to the publications and digital data funded by taxpayer dollars.

As called for in the PARR Plan, the Public Access Policy for Scholarly Publications defines a policy for digital NOAA research publications. It applies to any digital information product produced through the use of NOAA funding and intended for public or limited external distribution following the policy's effective date, and which meets specified criteria. Products created through federal staff time, contracts with third parties, and grants or other agreements are included.

Under the auspices of this policy, each NOAA publisher shall transmit a submission information package for each digital NOAA research publication to the NOAA Central Library for ingest into the NOAA Institutional Repository (IR) no later than one year after publication. Each submission information package will contain the digital objects that constitute each digital NOAA research publication along with a metadata record or enough information to ensure the creation of a metadata record.

The policy will take effect on October 1, 2015, and will apply to all digital NOAA research publications that are issued by a NOAA office after that date. While the NOAA IR will not be fully operational until January 1, the Library will receive information and prepare it for inclusion in the IR during the interim period.

ATTACHMENT: NOAA Public Access Policy for Scholarly Publications

National Oceanic and Atmospheric Administration's Public Access Policy for Scholarly Publications

I. Background and Purpose

1. John P. Holdren, Director of the White House Office of Science and Technology Policy (OSTP) issued a memorandum on Feb. 22, 2013, entitled *Increasing Access to the Results of Federally Funded Research*[1]. This memorandum directs each Federal agency that conducts over $100 million annually in research and development expenditures to develop a plan to support increased public access to the results of that research.
2. In February 2015 the National Oceanic and Atmospheric Administration (NOAA) Research Council issued the *NOAA Plan for Increasing Public Access to the Results of Research*[2] in response to the OSTP memo. Among other requirements, the *Plan* instructs the NOAA Research Council to issue a publications policy for NOAA. This *NOAA Public Access Policy for Scholarly Publications* fulfills that requirement.
3. This document defines a policy for **digital NOAA research publications**. It explains which publications are subject to the policy, describes what elements should be included in the archival version of the publication, and assigns responsibilities for each party involved in the process.

II. Scope

1. This policy requires **NOAA publishers** to submit all **digital NOAA research publications** as defined in Section III below to the NOAA Central Library for inclusion in the **NOAA Institutional Repository**.
2. This policy does <u>not</u> require **NOAA publishers** to submit any publication that is not explicitly included in that definition. **NOAA publishers** and the NOAA Central Library may agree to include such publications on an optional basis.
3. This policy does <u>not</u> require the inclusion of **digital surrogates** of **NOAA legacy publications** in the **NOAA Institutional Repository**. **NOAA publishers** and the NOAA Central Library may agree to include such publications on an optional basis.
4. This policy does <u>not</u> apply to environmental data as defined by NOAA Administrative Order 212-15 *Management of Environmental Data and Information*[3].

III. Definitions

1. **Digital NOAA research publication.** For the purposes of this policy, any digital information product produced through use of NOAA funding and intended for public or limited external distribution after the effective date of the *NOAA Plan for Increasing Public Access to the Results of Research*, and which meets the criteria shown below. This includes products created via federal staff time, through contracts with third parties, or through grants or other agreements. A **digital NOAA research publication** will meet one or more of the following criteria:
   a. Any final peer-reviewed manuscript accepted for publication by a commercial, open-access, or government publisher (including those published by NOAA),

b. Any document in a NOAA series as described in NOAA Administrative Order 201-32G *Scientific and Technical Publications*[4] intended for public or limited external distribution that includes the presentation or discussion of the results of research, such as:
    i. NOAA Professional Papers
    ii. NOAA Atlases
    iii. NOAA Technical Reports
    iv. NOAA Technical Memorandums
c. Any other NOAA document that a **NOAA publisher** and the NOAA Central Library agree to include in the **NOAA Institutional Repository**.

2. **Digital Object.** A digital representation of an information resource.
3. **Digital Object Identifier (or DOI).** An "actionable, interoperable, persistent link" to an object which can be used to cite the resource.
4. **Digital surrogate.** A digital object created by converting analog materials into digital form.
5. **FundRef.** A mechanism to indicate which funding source(s) supported the research reported in a publication. The website http://www.crossref.org/fundref/ provides a description of the system and a registry of funding entities.
6. **Legacy NOAA research publication.** This definition includes any NOAA research publication produced before the effective date of the *NOAA Plan for Increasing Public Access to the Results of Research*, including both digital and analog versions.
7. **NOAA author**. The person or person(s) who are responsible for the intellectual content of a **digital NOAA research publication**, either solely or in collaboration with others. This definition includes all authors, editors, compilers, principal investigators, and other equivalent functions. This definition includes such persons whether they are NOAA staff, NOAA contractors, NOAA grantees, and NOAA cooperative institute employees.
8. **NOAA Institutional Repository.** The system that NOAA will use to collect, archive, and make available all **digital NOAA research publications**, and which will be managed by the NOAA Central Library. The **Repository** will consist of a system for collecting submissions from **NOAA publishers**, a catalog of metadata that will describe the content and provide an index to allow users to locate the content, and the collection of **digital objects** that will constitute the content.
9. **NOAA publisher.** For the purposes of this policy, any NOAA entity that issues a **digital NOAA research publication** as defined above. This definition will include publications produced through any contracts, grants, or cooperative agreements that the NOAA entity manages.
10. **Submission information package (or SIP).** The set of files that allows for the ingest of a **digital NOAA research publication** into the **NOAA Institutional Repository**. The package will include the digital objects that constitute the publication itself, plus any metadata.
11. **Unique personal identifier.** A string of characters that provides a unique identifier for an individual used in coordination with the individual's name in publications and in metadata records. The website http://orcid.org/ describes the Open Researcher and Contributor ID (ORCID) system which allows for registration of an ORCID identifier; the website http://www.researcherid.com/ does the same for the ResearcherID system.

IV. Responsibilities

1. Each **NOAA publisher** shall transmit a **submission information package** for each **digital NOAA research publication** to the NOAA Central Library for ingest into the **NOAA Institutional Repository no later than one year after publication**. Each **submission information package** will contain the **digital objects** that constitute each **digital NOAA research publication** and, optionally, a metadata record that describes the publication.

   The submission must include either a metadata record, or enough information within the digital object itself to ensure the creation of a metadata record. Most items will have a chief source of information and/or supplementary sources that will contain these elements. At a minimum, the digital object and/or its associated metadata should have these elements:
   a. ***Title***. A formal title, if possible, or a description that can uniquely identify the item and that the Library staff can use to construct a title entry in the metadata used in the Repository.
   b. ***Contributor(s)*****.** The name and affiliation of any person or persons who had a significant role in creating the content of the item, and a term indicating the nature of that role, if applicable. These terms could include author, editor, compiler, creator, principal investigator, illustrator (in cases where visual aspects are important), contributor, or other role associated with the item. To the extent possible, all names should be spelled out to uniquely identify the person involved; initials should be avoided. Contributors are strongly encouraged to include at least one **unique personal identifier**, either ORCID or ResearcherID or both**.**
   c. ***NOAA Publisher*****(s).** The item should contain a full description of the issuing entity or entities that includes the entire organizational hierarchy.
   d. ***Date or Year of Publication*****.**
   e. ***Funding information*****.** For items that NOAA has funded through grants or other agreements, the item should identify the grant number and/or funding mechanism along with the **FundRef** registry entry for the funding office.
   f. ***Abstract.*** This should provide users enough information to identify the topic of the document and decide whether it fits their needs. In lieu of an abstract, the publisher could include an executive summary or an overview/introduction.
   g. ***Digital Object Identifiers***, if applicable. If the publisher has assigned a **Digital Object Identifier (DOI)** for an item, the submission should include this. If the publication is based upon data produced by NOAA and if those data are available to the public, the submission should include the **DOI** or other link to the data, as well.
   h. ***Suggested Keywords*****. NOAA publishers** should provide keywords to help with discovery and description of the publication.
2. Each **NOAA publisher** shall establish a point of contact to handle issues arising in the submission and archiving process.
3. The **NOAA Central Library** will process and archive submissions from **NOAA publishers** by taking the following steps:
   a. Acknowledge receipt of the digital files and store the files for further processing.
   b. Analyze the quality of the files and the content to ensure that the file is readable and that all required elements are present.

c. Create and/or edit metadata for inclusion in the **NOAA Institutional Repository**. The metadata will include the required elements listed in IV.1.b., plus additional fields to allow for searching and display of publications by Line Office or staff office, topical area, item type, and other groupings.
d. Create a **Digital Object Identifier** (DOI) using the EZID system (http://ezid.cdlib.org/) for each submission that requires one. The Library will not create DOIs for final peer-reviewed manuscripts; the Library will include any publisher-created DOI for the published version of the article in the Repository metadata.
e. Deposit the digital object and its associated metadata in the **NOAA Institutional Repository**.
f. Provide a report or web location to the **NOAA publishers** to list the digital files processed and archived in the Repository.
g. Compile metrics on the number of items in the **Repository** and their usage on an annual basis.

3. The **NOAA Central Library** will establish standard operating procedures that will cover the submission, ingest, and archiving of the **digital NOAA research publications** covered by this policy.
4. The **NOAA Central Library** will establish a point of contact for **NOAA publishers** to address any issues arising in the submission and archival process.

V. Effective date and revision of this policy.

1. This policy will take effect on October 1, 2015. It will apply to all **digital NOAA research publications** that are issued by a NOAA office after that date, and to such publications that are issued by cooperative institutes and grantees pursuant to agreements that have an effective date of October 1, 2015 or later.
2. This policy will be reviewed on an annual basis and revised, as necessary. The NOAA Central Library will lead the review process with the participation of Line Office contacts.

VI. References

1. White House. Office of Science and Technology Policy. *Increasing Access to the Results of Federally Funded Research*, Memorandum for the Heads of Executive Departments and Agencies, issued Feb. 22, 2013 (https://www2.icsu-wds.org/files/ostp-public-access-memo-2013.pdf).
2. NOAA Research Council. *NOAA Plan for Increasing Public Access to the Results of Research* issued Feb. 2015 (http://dx.doi.org/10.7289/V5F47M2H).
3. NOAA Administrative Order 212-15 *Management of Environmental Data and Information*, issued 8/22/91; effective 11/04/10. http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_212/212-15.html)
4. NOAA Administrative Order 201-32G *Scientific and Technical Publications*, issued 02/04/93; effective 01/27/93 (under review). (http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_201/201-32G.html)