Managing Public Access to External Research Funded by NIST

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PURPOSE

This document establishes the procedures for Federal Program Officers and other NIST staff to make public the results of research funded by NIST through grants, contracts and other agreements.

APPLICABILITY

This procedure applies to all research conducted or supported by NIST through grants, contracts, cooperative agreements, or other awards, including research conducted at Joint Institutes and federally funded research and development centers (FFRDCs).

REFERENCES

- Title 2, Subtitle A, Chapter II, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

- Federal Acquisition Regulation 52.227-14 Rights in Data – General.

- Department of Commerce Grants and Cooperative Agreements Manual

- NIST P 5700.00, NIST Policy on Managing Public Access to Results of Federally Funded Research
- NIST O 5701.00, Managing Public Access to Results of Federally Funded Research

- NIST G 5701.00, Guidance for Review of Data Management Plans Submitted with Applications and Proposals for NIST Funding

PROCEDURES FOR PUBLICATIONS

All final peer-reviewed manuscripts arising from NIST-funded research must be (1) freely available within 12 months of publication in a journal associated with CHORUS, or (2) submitted to the NIST publications repository or equivalent within 12 months of publication. Funding recipients should continue to report the status of any publications in their technical reports. Funding recipients must tell the Federal Program Officer which "public access" option they have chosen:

(1) If the manuscript is made freely available within 12 months of publication in a journal associated with CHORUS or is deposited by the awardee in a repository other than NIST's, the Federal Program Officer is not involved in making it available.

(2) The version of the manuscript that is deposited in a repository (NIST's or equivalent) may be either the final peer-reviewed manuscript or the formatted, published version depending on the requirements of the journal in which the paper was published.

If the awardee chooses to deposit the manuscript in NIST's repository, NIH's PubMed Central (PMC), the Federal Program Officer must initiate this process unless the publisher of the journal deposits a manuscript directly into PMC (see below).

o If NIST is making the deposit for the funding recipient, the funding recipient is required to forward a copy of their manuscript to the Federal Program Officer or designee, who uploads the paper to NIST's editorial review system. (Publications authored solely by non-NIST staff do not undergo NIST review and approval, but we use the editorial review system to maintain the records.) Staff in the NIST Research Library are alerted when a paper has been uploaded, and they submit the paper to PMC.

After the manuscript has been submitted to PMC, the author (not the Federal Program Officer) will receive an e-mail from NIHMS (National Institutes of Health Manuscript System, nihms-help@ncbi.nlm.nih.gov) asking them to acknowledge that the paper is theirs. PMC sends the manuscript to a contractor for formatting. When formatting is completed, NIHMS sends another e-mail asking the author to review galleys. After the galleys are approved and any existing embargoes expire, the paper will be available from PMC via the NIST landing page.

o If the paper is published in a journal that is a "full participant" in PMC, every article in the journal is automatically sent to PMC. In this case, the funding recipient merely needs to provide the Federal Program Officer or designee with the PMC ID number and citation information. PMC does not ask authors to acknowledge the paper or review galleys.

o If the paper contains an acknowledgment of funding from NIH or a PMC-participant (i.e., NIST), some publishers will submit those articles on the author's behalf. They may also make the deposit if the author has paid to make the article open access or if the author has paid the publisher to submit to PMC. (Reasonable costs for open access may have been included in grant proposals or project plan budgets. Funding recipients should consult publisher agreements to ascertain what payment of fees covers.) Again, the author will need to acknowledge the paper and review galleys. The author should also provide the Federal Program Officer with the PMC ID and citation information

PROCEDURES FOR DATA

If the funding recipient included a Data Management Plan (DMP) as part of their application, the recipient must comply with the terms of their DMP. For data that is being made publicly available, the funding recipient is required to send descriptive information about the data (i.e., metadata associated with the data) that they collected, including a link to the published data itself when relevant, to the Federal Program Officer or designee, who enters that information into NIST's Enterprise Data Inventory Tool for record keeping. The funding recipients themselves are responsible for depositing the data in publicly accessible locations where the data will be made available free of charge.

PROCEDURES FOR RECORD KEEPING

NIST is required to provide the Office of Science and Technology Policy (OSTP) with semi-annual metrics of the following:

- External publications in PMC
- External publications in other repositories
- External publications in a CHORUS-affiliated journal and not in a repository
- Extramural DMPs
- External projects that received exemptions for making data public
- External data discoverable through www.nist.gov
- External data accessible through www.nist.gov
- External data discoverable through data.gov
- External data accessible through data.gov
- External projects that made data discoverable (total)
- External projects that made data accessible (total).

Data metrics will be obtained from MIDAS by the Open Access Officer. Publication counts will be obtained from awardees' quarterly reports by the FPOs, who will pass the information to the Open Access Officer upon request, which will be made prior to the January 1 and July 1 OSTP deadlines.

DIRECTIVE OWNER

602 – Special Programs Office

APPENDICES

A. Revision History

<div align="center">**APPENDIX A**</div>

REVISION HISTORY

Revision	Date	Responsible Person	Description of Change
Initial	4/25/2017	Katherine Sharpless	First Draft
Rev. .01	8/28/2017	Dan Cipra	Formatting updates only.