

DOE Public Access Implementation

December Office of Science Office Hours

Carly Robinson, Assistant Director, Information Products and Services, OSTI

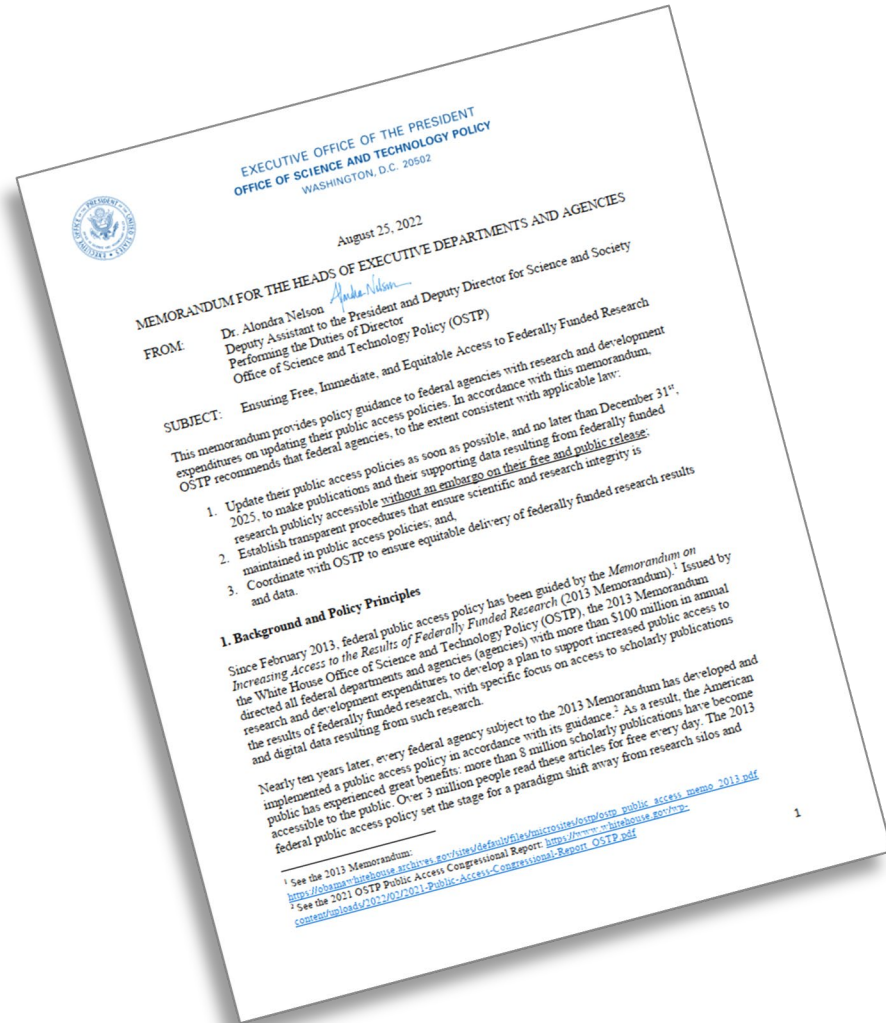
Michael Cooke, Senior Technical Advisor, SC



Office of Science

energy.gov/doe-public-access-plan

August 2022 OSTP Public Access Memo



- Built upon 2013 OSTP Memo
- All federal science agencies, including DOE, required to develop new Public Access Plans
- Plans must address making publications and data more publicly accessible
- Use of persistent identifiers to ensure scientific and research integrity

OSTP Public Access Memo: <https://www.whitehouse.gov/wp-content/uploads/2022/08/08-2022-OSTP-Public-Access-Memo.pdf>

2023 DOE Public Access Plan

Publications

- Move from 12-month embargo to immediate access upon publication
- Continue to submit accepted manuscripts via E-Link, but earlier in reporting process
- Provide access through DOE's designated repository, DOE PAGES®
- Emphasize author deposits of accepted manuscripts (green OA) – DOE

Data

- Now Data Management and Sharing Plans (DMSPs)
- “Scientific Data” to validate and replicate research findings
- Data underlying publications should be made available at time of publication
- Timeline for sharing other scientific data
- Repository selection should align with NSTC Desirable Characteristics of Data Repositories guidance

Persistent Identifiers

- Collect metadata associated with publications and data
- Metadata to include authors, affiliations and funding with associated PIDs, publication date, and PID for output
- Instruct researchers to obtain a PID for themselves and use when publishing and reporting R&D outputs
- Researcher PIDs must meet common/core standards
- PIDs for awards

2023 DOE Public Access Plan: <https://www.energy.gov/doe-public-access-plan>

E-Link



[Home](#) [About](#) [FAQ](#) [Submit STI](#) [Announcement Notices](#) [Authorities](#) [Contact Us](#) [Site Map](#)

United States Department of Energy Energy Link System (E-Link) *DOE STI Management System*

If you have a Financial Assistance Agreement (e.g., a grant) or contract with the Department of Energy and have been asked to provide a final scientific and technical report, the accepted manuscript of a journal article, or other STI product, these are your submission options.

For awards made on or after October 1, 2014, submission to DOE of accepted manuscripts is being required (see [DOE STIP Public Access FAQs](#)). Even if not specifically required under your award, you may submit an accepted manuscript of a journal article for work published as a result of DOE funding via AN 241.3 or the new AM Submission Interface for inclusion in DOE PAGES.

Submission Options for Financial Assistance Recipients (Grantees)

[Final Technical Report, Accepted Manuscript of Journal Article, or other STI Product \(AN 241.3\) Submission Interface](#)

[SBIR/STTR Certification](#)

[Scientific Research Datasets \(AN 241.6\) Submission Interface](#)

- DOE system for collecting R&D results/STI (including scholarly publications/journal article accepted manuscripts)
- Financial assistance recipient PI's use system to submit DOE-funded R&D outputs (requirements included in award term and detailed in financial assistance reporting checklist)
- Lab researchers submit R&D outputs through lab review and release systems – lab systems provide information to OSTI/E-Link
- E-Link is developed and managed by OSTI
- A new E-Link 2.0 version to better support public access and PIDs will be released in 2025

E-Link: <https://www.osti.gov/mlink/forms.jsp>

DOE PAGES

- Search tool for finding DOE-funded journal article publications and accepted manuscripts
- Publication records submitted in E-Link are discoverable in DOE PAGES
- Content indexing in common search engines to widely disseminate DOE-funded publications
- Historically, had 12-month delay before making the accepted manuscript full text publicly available

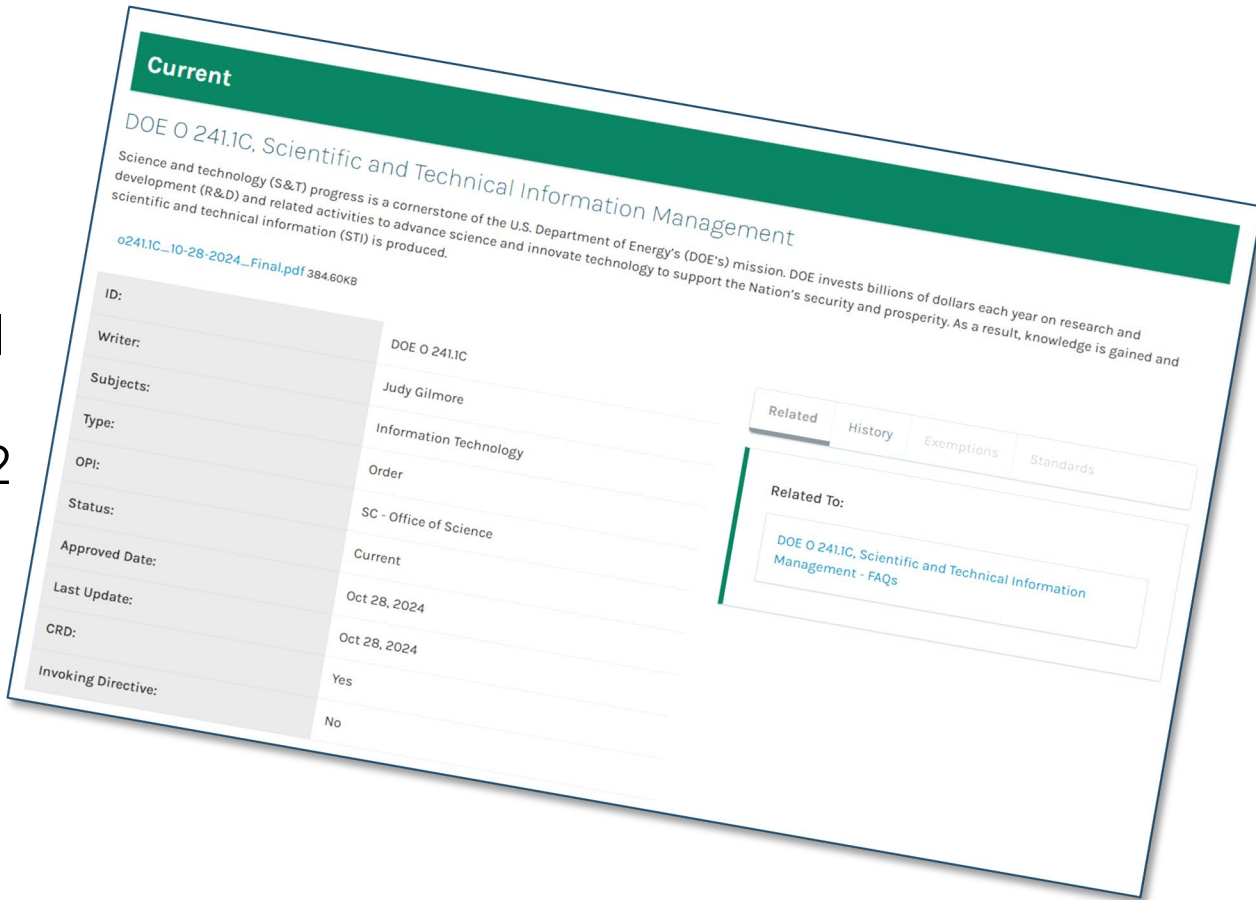


The screenshot shows the DOE PAGES website interface. At the top left is the Department of Energy seal. To its right, the text reads "DEPARTMENT OF ENERGY" and "DOE PAGES" in large letters, with "Public Access Gateway for Energy & Science" below it. Further down, it says "U.S. Department of Energy" and "Office of Scientific and Technical Information". A search bar with the placeholder text "Search Scholarly Publications" and a magnifying glass icon is centered. At the bottom, there are four navigation icons: "About" (info icon), "FAQs" (question mark icon), "News" (document icon), and "Dev Tools" (database icon). The footer includes the "U.S. Department of ENERGY" logo and "Office of Science" and "Office of Scientific and Technical Information" text.

DOE PAGES: <https://www.osti.gov/pages/>

DOE Order 241.1C – Scientific and Technical Information Management

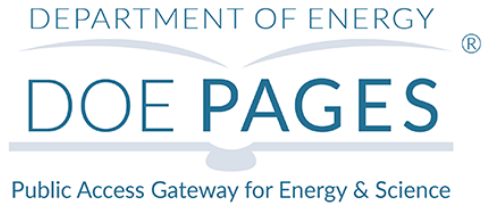
- Order ensures DOE fulfills its scientific and technical information (STI) management responsibilities
- Requires identification, collection, review, control, preservation, and dissemination of R&D outputs/STI
- Establishes requirements and roles for federal staff and contractors
- Order needed to be updated to address 2022 OSTP Public Access Memo, S&T Risk Matrix, National Security Presidential Memo 33 PID requirements, and DOE O 471.7 Controlled Unclassified Information
- Policy mechanism used to implement DOE Public Access Plan – addresses publication, data management, and PID requirements



DOE Order 241.1C: <https://www.directives.doe.gov/directives-documents/200-series/0241.1-border-c>

Public Access to Publications Implementation

Implementation Mechanisms

The logo for E@LINK, featuring the word "E@LINK" in a stylized font. The "E" is blue, the "@" is green, and "LINK" is green.The logo for DOE PAGES, featuring the text "DEPARTMENT OF ENERGY" at the top, "DOE PAGES" in a large font in the middle, and "Public Access Gateway for Energy & Science" at the bottom.

Published revision to DOE O 241.1C and Contractor Requirements Document (CRD)

Updating NOFO, award term, financial assistance checklist, and FA guide

Socialize requirements - webinars, trainings

Accepted Manuscripts continue to be submitted in E-Link (expected earlier), including full text pdf

Requirement in effect to submit journal article accepted manuscripts to OSTI so they can be made available without delay after publication

Requirement in effect for labs and financial assistance, but in a transition period to adjust to new requirement and workflow

Public Access provided through DOE's designated repository, DOE PAGES®

Removal of 12-month embargo of full text

Current DOE Data Management Overview

DOE data management principles		
Enable discovery	Share, preserve, validate	Cost management

DOE Data Management Plan (DMP) requirements			
Share, preserve, validate	Make data associated with publications accessible	Availability of data management resources	Privacy, security, confidentiality

- DMPs are reviewed, but there is flexibility in the processes used for collection and review
- Additional requirements may be identified in a solicitation or invitation for research funding
- Implementation is supported through commensurate budget for the approved DMP scope
- Current DMP requirements and guidance applicable through September 30, 2025

Current DOE guidance: <https://www.energy.gov/datamanagement/doe-requirements-and-guidance-digital-research-data-management>

Current SC guidance: <https://science.osti.gov/Funding-Opportunities/Digital-Data-Management>

Data Management Requirements Updates

- Highlighted changes from current data management strategy to FY 2026
 - “Data Management Plans” will become “Data Management and Sharing Plans”
 - Updated principles emphasize aim to “maximize appropriate data sharing”
 - Reporting requirements aim to enhance compliance monitoring and evaluation metrics

Data Management Plan (current)	Data Management and Sharing Plan (FY 26)
• “Research Data” to validate research findings	• “Scientific Data” to validate and replicate research findings
• Data underlying publications should be made as accessible as possible	• Data underlying publications should be made available at time of publication
• No explicit requirement regarding other research data	• Timeline for sharing other scientific data
• No explicit requirement regarding repository selection	• Repository selection should align with NSTC Desirable Characteristics guidance

Data Management Implementation

2023 Public Access Plan: Scientific Data Management Principles

Increase pace of scientific discovery

Protect integrity, enhance value of science

Maximize appropriate data sharing

2023 Public Access Plan: Data Management and Sharing Plan (DMSP) Requirements

Validation and replication of results

Timely and equitable access

Data repository selection

Data management and sharing resources

Data sharing limitations

- All DOE-funded R&D awards and contracts will be subject to a DOE approved DMSP and expect data reporting
- DMSP implementation supported through commensurate budget for approved scope

- Data management planning and submitting data as STI requirements included in DOE O 241.1C update, Attachment 6
- Developing updates to award term, FARC, RPPR
- New DMSP requirements applicable for research projects submitted on or after October 1, 2025

Persistent Identifier (PID) Overview

From the White House Memos – “A *digital identifier that is globally unique, persistent, machine resolvable and processable, and has an associated metadata schema.*”

A long-lasting, managed, and registered unique digital reference (often in the form of a URL) to a research object (e.g. person, organization, research output, award) that can be represented or described online.

PID Benefits

- Burden Reduction
- Disambiguation
- Proper Credit
- Discovery and Access
- Interoperability
- Analytics and Impact

PIDs for Research Outputs

(Publications, Reports, Data, Software)



<https://doi.org/10.1016/j.rinp.2023.106511>
<https://doi.org/10.11578/dc.20230501.1>

PIDs for People

(PIs, Researchers, Senior/Key Personnel)



<https://orcid.org/0000-0002-8523-1478>

PIDs for Organizations

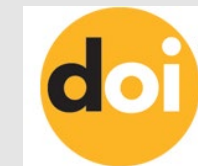
(Funders, Universities, Publishers, Facilities)



<https://ror.org/01bj3aw27>

PIDs for Awards

(Grants, Contracts, Facility Use)



<https://doi.org/10.46936/10.25585/60000014>

Persistent Identifier Implementation

DOE O 241.1C

- Instructs federal and contractor employees conducting R&D to obtain PID for themselves.
- Instructs employees to use PID when publishing and when reporting R&D outputs to OSTI.
- Requires PIDs for journal articles, technical reports, data, and software records (consistent with current practices).
- Requirements in effect but in a transition period for communities to adjust.

PID FAL

- NOFO instructs individuals required to submit Biographical Sketch and Current and/or Pending (Other) Support disclosures to provide PID in such disclosures as part of the NOFO application. Currently optional, required May 1, 2025.
- Award Term language instructing individuals conducting R&D to obtain a PID, use when publishing, and when reporting R&D outputs to OSTI. Currently required for those who have this included in financial assistance award term.



Department of Energy
Financial Assistance Regulations

No. FAL 2024-05
Date: August 8, 2024

FINANCIAL ASSISTANCE LETTER

This Financial Assistance Letter is issued under the authority of the DOE and NNSA Senior Procurement Executives.

Subject: Digital Persistent Identifier Requirements for Certain Individuals for Research and Development

References:

National Security Presidential Memorandum on United States Government-Supported Research and Development National Security Policy 33 ([NSPM-33](#)), January 14, 2021

Guidance for Implementing National Security Presidential Memorandum 33 (NSPM-33) on National Security Strategy for United States Government-Supported Research and Development ([NSPM-33 Implementation Guidance](#)), January 2022

Office of Science and Technology Policy (OSTP) Memo Ensuring Free, Immediate, and Equitable Access to Federally Funded Research ([OSTP Public Access Memo](#)), August 25, 2022

[DOE Public Access Plan](#), June 2023

PID FAL also addresses PID requirements included in National Security Presidential Memo 33 (NSPM-33).

Financial Assistance Letter: <https://www.energy.gov/sites/default/files/2024-08/FAL24-05%20-%20PIDs%20for%20Individuals%20-Final%20080724.pdf>

Persistent Identifier Implementation – OSTI

PIDs for Outputs

- OSTI collects and assigns PIDs for R&D outputs – use DOIs.
- Collect DOIs for journal article accepted manuscripts assigned by publishers.
- OSTI provides DOI assignment services that are part of R&D output submission processes in E-Link.
- Assign DOIs to technical reports, data, and software if not assigned by another source.

PIDs for People

- OSTI has optionally collected ORCID iDs associated with R&D output authors.
- Continue to collect author ORCID iDs.
- Will be developing additional ORCID iD support in E-Link.
- Explore collecting author ORCID iD from other sources (in addition to being provided by PI/submitter).

PIDs for Organizations

- OSTI has an organization authority to standardize organization names and information.
- Developed new organization authority with organization PIDs.
- Organization PIDs will be added to STI metadata.
- Organizations will be able to submit organization PIDs with metadata associated with R&D outputs.

Persistent Identifiers Implementation

Next Steps

Socialize PID requirements (DOE O 241.1C and FAL)

Ensure requirements are reflected in financial assistance guide

Update OSTI infrastructure to better support PIDs

Community conversations about what PID support is needed

PIDs for awards – potential next steps

Continue discussions with OSTP, OMB, and other agencies to understand expectations and potential approaches for award PIDs

OSTI provides Award DOI Service – currently used by user facilities

Thank you!

Questions?

