

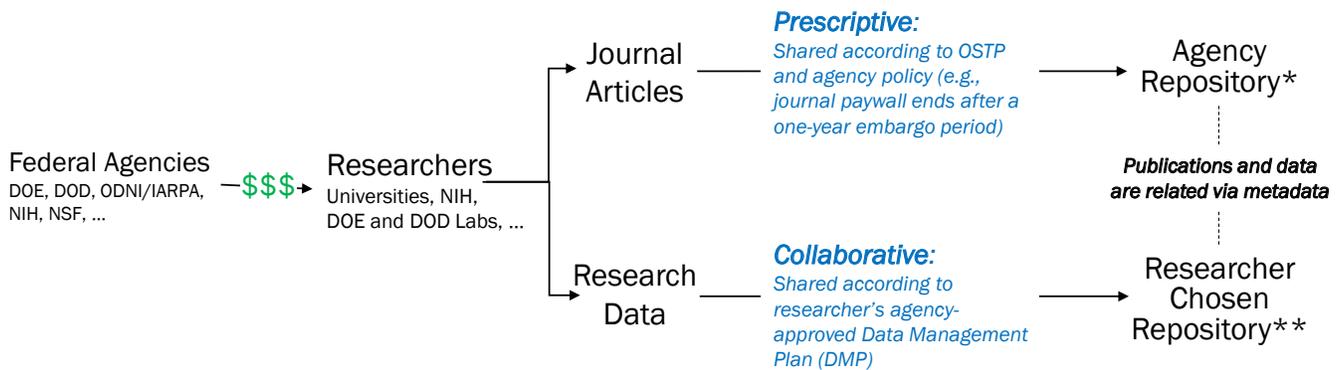
Establishing Public Access to Results of IARPA-Sponsored Research

Karen Gordon (kgordon@ida.org) and Jonathan Agre (jagre@ida.org)

A White House Office of Science and Technology Policy (OSTP) memorandum called for federal agencies to increase public access to the results of federally funded research, including both publications and data. Public access is important so that other researchers can independently validate and build upon the results. At the time of the memorandum, publications resulting from federally funded research often remained behind a paywall (subscription, membership, or other type of fee) long past their useful life, and research data was often inaccessible to outside researchers. OSTP advocated making publications freely available after a year behind the paywall and making research data as accessible as possible, subject to security, privacy, and intellectual property rights.

In response to the OSTP memorandum, the Office of the Director of National Intelligence (ODNI) began formulating a public access policy. The policy primarily targeted the Intelligence Advanced Research Projects Activity (IARPA), as it is the leading sponsor of unclassified research at ODNI. **IARPA asked IDA to assist in finalizing the policy and in developing a plan for implementation of the ODNI public access policy at IARPA.**

After reviewing the state of the practice in public access, **IDA determined that federal agency public access plans can and should be prescriptive with respect to publications but must be more collaborative with respect to data**, as illustrated below.



* The leading models for publication repositories include NIH PMC and DOE PAGES. IARPA publications are hosted by Defense Technical Information Center (DTIC) and made available for public access via PubDefense, a search capability modeled on DOE PAGES.

** Research data may be deposited in discipline-specific, general-purpose, or institutional data repositories. Typically, agencies collect metadata describing research data sets, place the metadata in an agency metadata repository (e.g., DOE Data Explorer), and then provide a search capability on the repository.

This is because the process for making publications accessible does not vary much across scientific disciplines, whereas the standards, repositories, and retention periods for data vary widely from discipline to discipline. Issues related to big data, intellectual property rights, security, and personally identifiable information further complicate the problem of implementing public access to data. Rather than dictating how data should be handled, agencies are requiring researchers to include data management plans as integral components of their research proposals. The plans are considered during the proposal evaluation process and negotiated at award time.

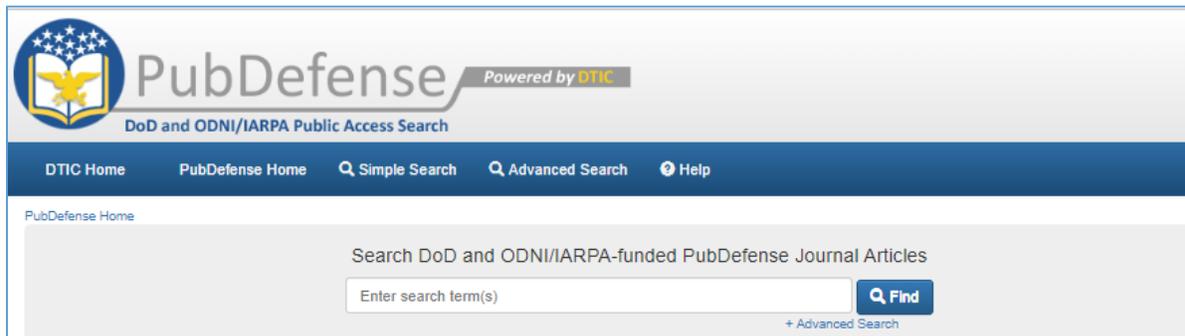
(continued)

IDA identified the National Institutes of Health (NIH) PubMed Central (PMC) and the Department of Energy (DOE) Public Access Gateway for Energy and Science (PAGES) as the two leading implementations of repositories providing public access to publications. In the end, the Department of Defense (DoD), the National Science Foundation (NSF), and IARPA chose to adopt the DOE approach, while several other agencies adopted the NIH approach. The DOE recently developed a multi-agency submission interface that serves DOE, DoD, and IARPA.



The screenshot shows the top of a web page with logos for the U.S. Department of Energy, U.S. Department of Defense, and IARPA. Below the logos is a navigation menu with links: Home, About, FAQ, Submit STI, Announcement Notices, Authorities, Contact Us, and Site Map. The main heading is "Multi-Agency Submission Interface". Below this is a section titled "Form Select" with the text: "This portal is for submission of publicly releasable journal articles and manuscripts. No CUI or classified materials are to be submitted." A large white box contains the instruction "Choose Federal Funding Agency/Agencies and click Next." and three radio button options: DOE, DoD, and ODNI/IARPA. A green "Next" button is located at the bottom of the white box.

DoD and IARPA worked together to implement a search capability modeled on DOE PAGES.



The screenshot shows the top of a search interface. On the left is a logo for PubDefense, which includes a stylized eagle and the text "PubDefense". To the right of the logo is the text "Powered by DTIC". Below the logo and text is the subtitle "DoD and ODNI/IARPA Public Access Search". A navigation bar contains links: DTIC Home, PubDefense Home, Simple Search, Advanced Search, and Help. Below the navigation bar is a search box with the text "Search DoD and ODNI/IARPA-funded PubDefense Journal Articles". The search box contains the placeholder text "Enter search term(s)" and a blue "Find" button. Below the search box is a link for "+ Advanced Search".

The National Science Foundation (NSF) and DOE were among the first agencies to promulgate public access requirements for research data; NSF, via program solicitations, and DOE, via funding opportunity announcements. IDA built upon the work of those agencies and prepared draft text, to be incorporated into IARPA broad agency announcements, specifying requirements for researchers to include data management plans in their research proposals that state how they intend to manage and share the research data underlying their publications.