U.S. Agency for International Development

Public Access Plan:

Increasing Access to the Results of Federally Funded Scientific Research

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1. Background and Purpose

The purpose of the U.S. Agency for International Development's (USAID's) Public Access Plan ("the Plan") is to increase public access to the results of the research it funds in response to an Office of Science and Technology Policy (OSTP) Memorandum dated February 22, 2013 (the "February 2013 memo").[1] The memo directs Federal departments and agencies with an annual Research and Development (R&D) expenditure of more than $100 million to develop a plan to increase public access to the results of federally funded research. This Plan will guide the development of agency procedures and policies to achieve this objective. It will make USAID-funded research products available and accessible to the public, industry, and scientific community. These research products include peer-reviewed research publications, datasets, and other supporting artifacts. Through greater access to these products, USAID will maximize its return on investment in research[2] and will expedite evidence-based policy making in support of its mission.

USAID's Public Access Plan is designed to promote the following objectives:
- Establish USAID's commitment to increase public access to results of scientific research;
- Support best practices for managing scholarly publications and scientific research data to achieve broad based development objectives; and
- Preserve and increase the use of research results to enhance scientific discovery in support of USAID's development objectives.

The February 2013 memo covers two distinct areas: digital research data and peer-reviewed publications. USAID's Plan uses an integrated approach to increase public access to peer-reviewed publications and research data (see Section 4. Overview of USAID's Public Access Plan).

2. Authority

The Plan conforms to existing USAID policies and directives. These policies include the Automated Directive System (ADS) chapters 502 (USAID Records Management), 506 (Reports Management), 578 (USAID Information Quality Guidelines), 579 (USAID Development Data), and 540 (Development Experience Information). It does not rescind any other USAID regulations, policies, or guidance. Other authorities include:

- The America COMPETES Reauthorization Act of 2010 (P.L. 111-358), Section 103 outlines the Office of Science and Technology Policy (OSTP) Director's "responsibility to coordinate Federal science agency research and policies related to the dissemination and long-term stewardship of the results of unclassified research, including digital data and peer-reviewed scholarly publications, supported wholly, or in part, by funding from the Federal science agencies."

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[1] https://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf
[2] This plan is inclusive of all USAID-supported research. See section 3 Definitions.

- The [Office of Management and Budget (OMB) Circular A-11Office of Management and Budget (OMB) Circular A-11](#) ("Preparation, Submission and Execution of the Budget"; August 3, 2012) defines research and development activities as "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications." This is consistent with the definition used in this document defined in Section 3.

- The [Freedom of Information Act (FOIA; 5 U.S.C. 552)](#) provides for public access to the records of the federal government.

- The [E-Government Act of 2002 (44 U.S.C. 101)](#) promotes "the use of the Internet and emerging technologies within and across Government agencies to provide citizen-centric Government information and services," as well as providing "enhanced access to Government information and services."

- [OMB Circular A-130](#) ("Management of Federal Information Resources") specifies that "[t]he open and efficient exchange of scientific or technical government information…fosters excellence in scientific research and effective use of federal research and development funds."

- [The Paperwork Reduction Act (44 U.S.C. 35)](#) has as one of its key purposes to "ensure the greatest possible public benefit from and maximize the utility of information created, collected, maintained, used, shared and disseminated by or for the Federal government."

- [OMB Memorandum M-10-06](#) ("Open Government Directive;" December 8, 2009) encourages transparent government and openness by directing agencies to "publish information online in an open format that can be retrieved, downloaded, indexed and searched by commonly used web search applications." It further defines an open format as one that is "platform independent, machine readable, and made available to the public without restrictions that would impede the re-use of that information."

- [The Open Data Policy—Managing Information as an Asset (OMB Memorandum M-13-13)](#) establishes a framework to help institutionalize the principles of effective information management at each stage of the information life cycle to promote interoperability and openness. Specifically, this memorandum requires agencies to collect or create information in a way that supports downstream information processing and dissemination activities. This includes using machine readable and open formats, data standards, and common core and extensible metadata for all new information creation and collection efforts. It also includes agencies ensuring information stewardship through the use of open licenses and review of information for privacy, confidentiality, security, or other restrictions to release. Additionally, it involves agencies building or modernizing information systems in a way that maximizes interoperability and information accessibility, maintains internal and external data asset inventories, enhances information safeguards, and clarifies information management responsibilities.

- OMB [Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies](#) establishes guidelines that "provide policy and procedural guidance to Federal agencies for ensuring and maximizing the quality, objectivity, utility, and integrity of information (including statistical information) disseminated by Federal agencies."

- [OMB's Final Information Quality Bulletin for Peer Review (OMB Memorandum M-05-03)](#) establishes "government-wide guidance aimed at enhancing the practice of peer review of government science documents. This Bulletin is one aspect of a larger OMB effort to improve the quality of scientific information upon which policy decisions are based."

3. Definitions

For the purpose of this Plan, the following definitions apply:

- ***Research:*** The term research (as defined by [OMB Circular A-11](#)) refers to systematic and creative activities undertaken to increase the knowledge base, including understanding of humankind, culture, environment, and society, and the application of this knowledge base to devise new interventions. [The USAID Scientific Research Policy](#) provides guidelines about which USAID activities are considered research under this definition.

- ***Intellectual Work:*** In the context of the Public Access Plan, it includes all works that document the implementation, evaluation, and results of international development assistance activities, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports (excluding administrative financial information), and other reports, articles and papers, whether published or not.

- ***Peer-reviewed Manuscript:*** An author's final manuscript of a peer-reviewed paper, including all modifications from the peer-review process.

- ***Final Published Article:*** A publisher's authoritative copy (the version of record) of the paper, including all modifications from the publishing peer-review process, copyediting, stylistic edits, formatting changes, and post-print corrections, if any.

- ***Research Data:*** The recorded factual material commonly accepted in the scientific community as necessary to validate research findings, including datasets used to support scholarly publications, but not any of the following: laboratory notebooks, preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This 'recorded' material excludes physical objects, e.g., laboratory samples ([OMB Circular A-110](#)).). (OMB Circular A110 and OSTP Memo). This definition is consistent with 2 CFR 200.315 and [OMB M-13-13](#), which defines data as a "set of values representing a specific concept or concepts…it includes, but is not limited to, 1) geospatial data; 2) unstructured data; and 3) structured data, etc."

- ***Structured Data:*** This term is used to describe data that resides in a database or information system. This data is generally organized and more searchable than unstructured data.

- ***Unstructured Data:*** This term is used to describe data that does not reside within a database or information system. Some examples of unstructured data would be word processing documents, digital presentation files, and email messages.

- ***Dataset:*** An organized collection of structured data, including data contained in spreadsheets, whether presented in tabular or non-tabular form, and that are part of a peer-reviewed published research article. For example, a dataset may represent a single spreadsheet, an extensible mark-up language (XML) file, a geospatial data file, or an organized collection of these.

4. Overview of USAID's Public Access Plan

4.1. Components of the Plan

USAID's Plan for increasing access to scientific publications and data is described below. The Plan will leverage the current information management systems at USAID, the Development Data Library (DDL) and the Development Experience Clearinghouse (DEC), as described in Figure 1. The DDL serves as a registry and repository for structured data, and the DEC stores publications, technical reports, and unstructured data. These systems will be adapted to meet the requirements of this Plan, including strengthening linkages between the systems and periodic assessment to ensure long-term preservation of information.
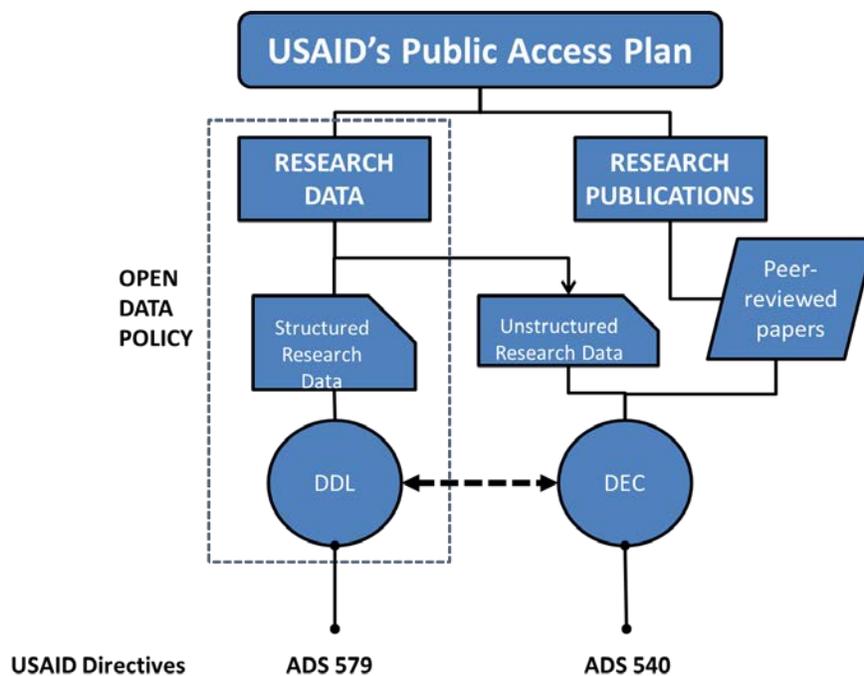
Figure 1. Overview of USAID's Public Access Plan. The Plan will be implemented through existing knowledge management systems at USAID. The Plan will strengthen linkages between USAID Knowledge Management Systems to improve access to the results of USAID-sponsored research.

4.1.1. Storage of Research Data and Documents

4.1.1.1. Storage of Research Data

USAID's Public Access Plan leverages USAID's current data storage systems and aligns with the Agency's Open Data Policy, as articulated in ADS 579 - USAID Development Data. USAID established ADS 579 both to institutionalize existing data-driven mandates within the Agency and to implement Executive Order 13642 - Making Open and Machine Readable the New Default for Government Information. ADS 579 mandates that structured datasets generated with USAID funding be registered in and listed on the DDL. In some instances, the data itself may reside on an approved independent repository, but must still be registered in the DDL. All datasets registered in or submitted to the DDL are assigned a unique identifier.

DDL data submission and registration requirements apply to USAID staff, who conduct research as part of their official duties, and to contracts, grants and cooperative agreements issued by the Agency. For contracts, this is implemented through a clause entitled "Submission of Datasets to the Development Data Library[3] located in ADS 302mas - Special Provisions for Acquisitions. For assistance awards, this is implemented through a provision entitled "Submission of Datasets to the Development Data Library" available in Standard Provisions for U.S. or non-U.S. nongovernmental organizations ADS 303maa ADS 303maa, a mandatory reference to ADS 303. Contracting Officers Representatives (CORs) or Agreement Officers Representatives (AORs) are

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[3] Referred to in this document as the "DDL clause".

responsible for monitoring compliance and managing the clearance process so that data may be publicly released. Intellectual work, beyond the scope of the DDL, including unstructured data, will be stored in the Development Experience Clearinghouse (DEC) as described in section 4.1.1.2.

The data clearance process defined in USAID's Open Data Policy, and implemented via the DDL, conforms to OSTP and OMB's Open Data Policy requirements. Prior to public release, each dataset is reviewed:

1. To assure that the safety of USAID staff and its partners would not be compromised by release of the data;
2. To verify that the dataset is sufficiently de-identified to further protect the identity of individuals from whom the data is collected; and
3. To confirm that the release of the data will in no way prevent USAID from carrying out its mission in the country of origin.

The DDL is fully operational (www.usaid.gov/data) and supports the objectives of the February 2013 memo. To facilitate easy public search, analysis, and access, data is posted in a machine-readable non-proprietary format. Each dataset can be linked to the DEC where the full published text and associated supplemental materials will be available, in some cases after an embargo period. An Application Program Interface (API) for submitting and retrieving data from the DDL is under consideration. USAID-sponsored research data sets publicly available in the DDL must adhere to the Agency's Information Quality Guidelines found in ADS 578.

4.1.1.2. Storage of Publications and Related Documents

USAID's Public Access Plan leverages the Agency's current document storage system – the DEC (https://dec.usaid.gov/dec/home/Default.aspx). Intellectual work produced or funded by USAID must be submitted, per guidance in ADS 540, AIDAR 752.7005 "Submission Requirements for Development Experience Documents[4]" and the corresponding assistance provision in ADS 303[5] to the DEC.

 (https://dec.usaid.gov/dec/home/Default.aspx). The DEC serves as an open access repository and permanent archive for USAID-funded intellectual work, such as journal articles, research reports, evaluations and assessments, contract information, tutorials, policy and planning documents, activity information sheets, and training materials in the form of text documents, images, and video and audio materials. All items are tagged with a unique identifier and become publicly accessible once they have been cleared for posting by the Knowledge Management Division in the Office of the Chief Information Officer. The DEC-issued unique identifier for a peer-reviewed manuscript will be linked to the DDL-issued identifier for the corresponding study's dataset. Knowledge, information, and data sharing are already mandated through existing resources maintained by the Agency.

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[4] Referred to in this document as the "DEC clause".
[5] USAID needs to revise the DEC clause/provision before the requirements of this Plan can be fully met.

The public release of submitted manuscripts may be delayed for an established embargo period as specified in section 4.3.4.[6] Currently, the documents are stored in a PDF format. USAID will explore ways to transition the scientific manuscripts into a machine-readable format (e.g., XML). Final author manuscripts submitted to the DEC must include an acknowledgement statement identifying USAID support as directed in ADS 320, section 3.2.4, and adhere to the Agency's Information Quality Guidelines found in ADS 578.

To search the DEC, individuals can use keywords, phrases, or more advanced search techniques to find resources. Users can download their search results, review detailed bibliographic information or perform more complex sorting and filtering. To facilitate easy access and search, the DEC provides full public access to publications' metadata without charge for documents. To help others find the information they need, the DEC Team encourages USAID community members to share feedback on their experiences with the DEC. The DEC makes it easy to share these materials via social media where users can provide comments and ratings, as well as votes and tags on useful DEC materials. The DEC team holds monthly webinars highlighting search techniques.

During implementation of this Plan, USAID will make modifications to the DEC to make metadata available online at the time the paper is published and provide a link to the full text and associated supplemental materials, even if the full text is embargoed. The full text will be made available after any needed embargo period.

4.1.2. Scope and Applicability

This Plan applies to both peer-reviewed scholarly publications and digital data produced through research funded wholly or in part by USAID. It also covers supporting artifacts, which could include code books, data dictionaries, data gathering tools, notes on data quality, and explanations of redactions that pertain to the research data and/or the peer-reviewed scientific manuscripts.

It applies to USAID personnel regardless of hiring mechanism and covers research products produced as part of the individual's official duties. This policy will extend to implementing partners via revised clauses and provisions for USAID awards.

4.1.3. Requirements

Requirements related to data, data management plans, and peer-reviewed publications are described below. Some requirements are already mandated per existing policies. USAID's Information Governance Committee (InfoGov) in conjunction with the Agency's Office of General Counsel (GC), Office of Management Policy, Budget and Performance (M/MPBP), Office of the Chief Information Officer (M/CIO) and Policy Division of the Office of Acquisition and Assistance (M/OAA/P) in the Bureau for Management, and the U.S. Global Development Lab will develop additional guidance regarding the requirements and applicability of the various aspects of this Plan to USAID awards.

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[6] USAID plans to include guidance on the embargo period as part of revisions to the DEC clause/provision.

A) *Data Management Plan (DMP):* For research projects, Operating Units (OUs), in consultations with the Contracting Officer/Agreement Officer (CO/AO) will require offerors/applicants to submit a DMP either as part of a project proposal/application or as part of the work planning process for USAID review and concurrence. The DMP policy and criteria for what constitutes a comprehensive DMP, how they will be evaluated, and when it may be required will be finalized in consultation with stakeholders during the implementation of the Public Access Plan.

ADS 579 provides guidance for structured data generated with funding from USAID, including data that underpins scientific peer-reviewed publications. Guidelines require that structured data must be submitted to the DDL or to an approved third-party data repository. Existing guidance in ADS 579 details the format in which the structured data must be submitted to the DDL (e.g. in machine readable, non-proprietary formats such as comma separated values [CSV] and extensible markup language [XML]); the timeline for submission; information on quality control and quality assurance standards to be applied to the dataset; and restrictions on access due to personally identifiable information, confidentiality, and or national security concerns. If the partner intends to submit the data to the DDL, the DMP may be short. However, when submitting to a third party data repository, the DMP must demonstrate that the third party repository meets or exceeds the specifications of the DDL. For example, Standard Provisions for US Nongovernmental Organizations 303maa state that the "recipient is not required to submit the data to the DDL, when, in accordance with the terms and conditions of this award, datasets containing results of federally funded scientific research are submitted to a publicly accessible research database. However, the recipient must submit a notice to the DDL by following the instructions at www.usaid.gov/data, with a copy to the agreement officer representative, providing details on where and how to access the data." USAID will coordinate with partner agencies to further streamline these requirements for datasets and publications. In such cases, the DMP submitted by the implementing partner must provide details on the non-USAID publicly accessible data repository, including how that repository meets or exceeds the specification of the DDL. DMP must also include details on how the unstructured data will be managed (e.g. submission to the DEC).

B) *Data:* ADS 579 and ADS 540 outline requirements for USAID staff related to the submission of data to the DDL and the DEC, respectively. Requirements for contractors and grantees are included in the terms and conditions for each individual award.[7]

   a. *Structured Data:* Structured datasets resulting from USAID-funded research must be registered and or submitted to the DDL no later than 90 calendar days after award completion. For research datasets underlying peer-reviewed

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[7] USAID is in the process of transferring the DDL clause from internal Agency policies into the AIDAR. As part of this transition, the DDL clause is being revised to meet the requirements of this Plan. USAID is further planning to revise the DDL assistance provision and the DEC clauses/provisions to align with the requirements described in this paragraph applicable to contracts, grants and cooperative agreements.

publications, the structured datasets must be registered and/or submitted to the DDL no later than 15 working days after the date printed on the publication acceptance notification. The peer-reviewed publication and the underlying dataset will be made publicly available after the stipulated embargo period. USAID may embargo, or temporarily withhold from public release a dataset resulting from federally funded research while the dataset is the subject of a pending publication or pending patent application for a period not to exceed 12 months after the award completion date.

b. *Unstructured Data:* ADS 540 provides guidance to Agency personnel on submission of unstructured data, such as document reports, images and videos to the DEC. The data will be made public after an embargo period and can be used with attribution to the owner of the data. This Plan will extend these guidelines to implementing partners through appropriate revisions to clauses and provisions in USAID awards.

C) *Peer-reviewed Publications:* Intellectual work produced or funded by USAID must be submitted to the DEC, per guidance in AIDAR 752.7005 and ADS 540. This Public Access Plan provides additional guidance on the process for submitting peer-reviewed publications to the DEC. Researchers will be required to submit a copy of final authors' manuscripts (or final published article if available) and any supporting materials associated with the peer-reviewed texts to the DEC. For full implementation in contracts, grants, and cooperative agreements, current DEC clauses and provisions will be revised. All publicly disseminated USAID- produced and USAID-funded peer reviewed publications must adhere to the guidance included in the following documents: the OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies; the OMB Memorandum M-05-03, Final Information Quality Bulletin for Peer Review; and the ADS 578, USAID Information Quality Guidelines, USAID Information Quality Guidelines.

D) *Restrictions on Public Disclosure:* Although submission of the research data to the DDL or an approved third part repository will be required, the public release of research data will be governed by the six principled exceptions outlined in OMB Bulletin 12-01 "Guidance on Collection of U.S. Foreign Assistance Data" outlined below, which are also reflected in the February 2013 OSTP memo:

a. When public disclosure threatens national security interests;
b. When public disclosure is likely to jeopardize the personal safety of U.S. personnel or recipients of U.S. resources;
c. When public disclosure would interfere with the Agency's ability to effectively discharge its ongoing responsibilities in foreign assistance activities;
d. When there are legal constraints on the disclosure of business or proprietary information of non-governmental organizations, contractors, or private sector clients;
e. When the laws or regulations of a recipient country apply to a bilateral agreement and restrict access to information; or

f. When data reveal private information about individuals that must be kept confidential consistent with ethical guidelines and federal regulations.

Exceptions also include the following, laid out in 2 CFR 200.315:

(i)"Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and

(ii) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study."

USAID recognizes that some information must be handled carefully to avoid negative consequences for individuals. As such, the procedures here apply to other Agency processes aimed at protecting individuals from release of potentially harmful information. This effort includes incorporating a review process, noted above, to screen information before release to the public, as well as requirements to prevent certain types of information from being submitted in the first place. Specifically, as outlined in ADS 579 and ADS 540, financially sensitive information or personally identifiable information (PII) must be removed prior to submission.

4.2. Features of the Plan

USAID is building functionality related to the Public Access Plan into existing and developing systems. The Plan's features pertaining to search capabilities, bulk downloads, exposure to third party services, and 508 compliance are summarized below.

4.2.1. Search

The functionality of USAID's DEC and the DDL provide archival solutions for all USAID research products. Discoverability of data sets will be enabled by having a catalog record for each data set included in the DDL, even if the data are stored in an external repository. Search and retrieval covers the resources directly uploaded into the system, including title, description, metadata, and the content. DEC search capability improvements are in process that will allow users to read, download, and analyze by machine the full text content of the DEC. The Agency will leverage these improvements in support of the Public Access Plan's implementation and further enhance them as necessary. Expanded search functionality may include integration of external systems and services. Related to this, USAID employs a Google search appliance for its website that performs full-text indexing. Texts documents and associated content (i.e., images, video, and supporting data) will be stored in non-proprietary or widely distributed formats.

4.2.2. Exposure to third party services

Upon implementation of this Plan, the DEC and the DDL will be made more discoverable by allowing third party services to crawl their content and make it more discoverable.

4.2.3. 508 Compliance

USAID systems are accessible to people with disabilities and compliant with Section 508a of the Rehabilitation Act (29 USC 794d). Existing guidance in ADS 540 and AIDAR 752.7005 mandate that materials submitted to the DEC are 508 compliant. [ADS 302mak](#) provides additional background on USAID's measures for achieving 508 compliance.

4.3. Implementation

Improving the quality and accessibility of USAID's research products carries implications for the entire Agency. As such, the Plan will be implemented collaboratively and leverage existing resources across the Agency. The implementation process will:

- Establish an iterative process for design, assessment, and translation of the Plan into Agency policy;
- Work in full and open consultation with stakeholders, including other federal organizing bodies, libraries, publishers, federally funded researchers, universities, users of federally-funded research results, and civil society organizations to maintain and improve the Plan;
- Explore new approaches and partnerships with publishers and other stakeholders to obtain final peer-reviewed manuscripts or published articles; and
- Track the extent of public access to USAID-funded research products.

4.3.1. Roles and Responsibilities

- *U.S. Global Development Lab (the Lab):* As the lead for the Agency's Scientific Research Policy, the Lab will continue to provide subject matter expertise, standards, and other content-related guidance for the implementation of the Plan.

- *The Bureau for Policy, Planning and Learning (PPL):* PPL will include this Plan and the research-related guidance supplied by the Lab in the USAID Policy Registry.

- *The Bureau for Management (M):* M will lead the implementation of the Plan and ensure that the commitments contained in this Plan are realized via Agency information systems, technology products, policies, and award mechanisms as necessary and ensure adherence to OMB and USAID information quality requirements related to USAID-produced or USAID-funded scientific research that the Agency disseminates publically.

- *The Bureau for Legislative and Public Affairs (LPA):* LPA will assist with the publication and distribution of public research products to key audiences and respond to inquiries about these products. Furthermore, as outlined in the USAID Scientific Research Policy (2014, p. 19), LPA will provide guidance as appropriate on the use of disclaimers in publications.

- *Information Governance Committee (InfoGov):* As established in October 2013 and outlined in its Charter, InfoGov and/or related working groups as coordinated by USAID's Chief Data Officer will oversee the governance of this Plan.

- *InfoGov Working Groups:* InfoGov Working Groups will address issues prioritized for consideration by InfoGov and will make cogent, well-formulated recommendations to InfoGov for Agency-wide implementation and incorporation of policy and procedures in USAID's Automated Directives System (ADS).

- *Contracting Officers/Agreement Officers:* COs/AOs are responsible for incorporating the appropriate clause/provisions, as applicable, into awards and monitoring partners' compliance with award terms and conditions.

- *Contracting Officer Representatives/Agreement Officer Representatives (COR/AOR):* CORs and AORs are responsible for monitoring partners' compliance with award terms and conditions, a responsibility delegated to them by COs and AOs.

- *USAID Employees:* USAID employees will be required to carry out this Plan consistent with USAID policy and guidance developed by the InfoGov and/or its related working groups.

InfoGov and the Lab will work with M/OAA/P and GC to develop Agency implementing policy and associated clauses and provisions for its acquisition and assistance awards to ensure that the research products are submitted to USAID according to the terms of this Plan, to the extent permissible by law.

4.3.2. Notification the Plan Requirements

AIDAR 752.7005 and a corresponding assistance provision in ADS 303 already include a requirement for contractors/recipients to submit intellectual work to the DEC. ADS 302 and ADS 303 contain the DDL clause/provision, requiring contractors and recipients to submit datasets to the DDL. To fully incorporate the policies established in this document into the AIDAR, USAID will consider where the DEC and DDL clauses require any additional updates. If so, this will be accomplished through a rulemaking process that will inform the general public of the upcoming updates and provide an opportunity to comment. At the completion of the rulemaking process for acquisitions, corresponding changes will be made to the DEC and DDL assistance provisions in ADS 303. USAID staff will be notified of these requirements through revisions to the appropriate ADS chapters, where necessary.

4.3.3. Metrics and Compliance

Under current requirements stated in ADS 540 and implemented via AIDAR 752.7005, contractors must submit to the DEC one copy each of reports and information products which describe, communicate or organize program/project development assistance activities, methods, technologies, management, research, results and experience. Within 30 calendar days after completion of the contract, contractors must also submit to the DEC any reports that have not

been previously submitted and an index of all reports and information/intellectual works referenced in the guidance.

Further criteria/metrics for compliance and evaluation will be developed through consultations with M/OAA/P, GC, and other USAID Operating Units. This may include: A) requesting offerors to submit within their proposals a list of USAID-funded peer-reviewed publications (and the corresponding DEC-issued unique identifier number for publication) that resulted from their prior USAID awards when deemed appropriate by the CO; B) importing the metadata and links to the authors' manuscript or the publically available version of record of publications that resulted from USAID support, but were published after completion of the award in partnership with third-party reference services such as CHORUS and FundRef; and C) including compliance with open data and public access requirements of awards as a measure of past performance.

4.3.4. Embargo

USAID may embargo, or temporarily withhold from public release, a research dataset or publication resulting from USAID-funded research for a maximum of 12 months after the award completion date. Metadata should be made accessible as soon as possible after final acceptance of a paper and appropriate review, even if the full text is subject to an embargo period. The metadata should be coded appropriately to facilitate discovery. Metadata will be available promptly and without charge and will provide a link to the full text and supplemental materials when possible. For full implementation in contracts, grants and cooperative agreements, current DDL and DEC clauses/provisions may need to be revised.

Publications:
The submitted manuscripts may be embargoed for a period not to exceed 12 months after the official date of publication of the peer-reviewed manuscript, as suggested in the OSTP memo. Authors' final manuscripts will be stored in a non-public repository on the DEC until the expiration of the approved embargo period. USAID will make final manuscripts public after the expiration of the embargo period.

Data:
USAID may embargo a dataset resulting from USAID-funded research for a period not to exceed 12 months after the award completion date. Research datasets underlying publications may be released as early as the scheduled publication date and no later than 12 months from the date of acceptance for publication. Research datasets that are subject of a pending publication or pending patent application must be deposited in the DDL, but can be held as non-public until the conclusion of the embargo period not to exceed 12 months after the end date of the award.

Petition:
For publications, stakeholders may petition to change the maximum allowable embargo period for articles in a specified field. The petition can be made through opendata@usaid.gov. Petitions will be reviewed and adjudicated by InfoGov or a related governance structure within the Agency. Detailed guidelines for submission of petitions for publications and the criteria for their adjudication will be developed as part of the broader implementation of this public access plan.

Embargo periods for scientific research datasets will be governed by the data submission requirements stipulated for the DDL.

4.3.5. Acceptable Use Policies

USAID will develop and share acceptable use policies for research data and publications stored in the DDL and DEC. For research data, these would include an obligation to provide appropriate attribution to the data when used (e.g., using the persistent data set identifier assigned by the DDL) and could include consideration of co-authorship on publications resulting from the use of the data. Under the terms of an award with USAID, an implementing partner or an awardee generally owns the data it collects, but USAID typically has unlimited usage rights. Under these rights, USAID can assess the best manner to promote this policy, including applying an open license providing attribution to the partner. For peer-reviewed publications, acceptable use policies may include notification that bulk download and distribution are authorized for research and analyses, and notification of an obligation to appropriately cite the publication. Acceptable use policies will be determined in consultation with USAID's GC and other USAID Operating Units.

All data and documents on the DDL and DEC will have a valid license for the public to download such data and documents. USAID will authorize bulk downloads of data and documents that are publicly accessible for research and analysis, while protecting against unauthorized redistribution of scholarly content by either including a notice in the system, and or allowing restricted bulk downloads upon request. The full-text of publications will be accessible for the public to read, download, and analyze in digital form.

4.3.6. Preservation

USAID will ensure the preservation of research products through existing permanent repositories for documents (the DEC) and data (the DDL). USAID will require implementing partners who plan to submit data from USAID-funded research to an alternate, publicly accessible data repository demonstrate in their DMP the long-term preservation of the data. Data in the DDL constitute federal records and will be retained and dispositioned consistent with the National Archives and Records Administration (NARA) General Records Schedule and the USAID Records Schedule in ADS 502 (USAID Records Management Program) that outlines the disposition schedule for Agency records. USAID's M/CIO, NARA, and the President's Memo on Managing Government Records (11/28/2011) have also established additional guidelines. USAID will explore ways to store peer-reviewed publications in a machine-readable format. For data, ADS 579 requires that datasets submitted to the DDL must be in non-proprietary, machine-readable formats.

4.3.7. Public Consultation Experience

USAID participated in the public meeting concerning Public Access to Federally Supported Research Data and Publications held May 14-17, 2013, at the National Academy of Sciences. USAID currently operates a public website https://www.usaid.gov/data to share information on the DDL. The portal also has multiple options for receiving feedback from the public, including

Q&A on Stack Exchange, GitHub to provide technical feedback, email to opendata@usaid.gov, and Frequently Asked Questions. The Public Access Plan will make use of these and other mechanisms to receive feedback from the public.

4.3.8. Partnering with the Private Sector

USAID will explore cooperation with the private sector to improve data access and compatibility, including the formation of public-private partnerships with foundations and other research funding organizations. Such partnerships will be used to assist with implementing the Agency Plan by ensuring interoperability of databases, providing training to USAID staff on data management, and developing communication tools to socialize the Plan among stakeholders within the Agency and beyond.

4.3.9. Interagency Coordination

USAID engages an expanding network of federal agencies (e.g. NASA, NIH, NSF, USDA, etc.) and will continue to work with the OMB and OSTP to help identify measures to ensure interoperability and reduce redundancy. This will facilitate improved access to other federally funded scientific research results and maximize the impact of Federal research investments. In instances where a Principal Investigator receives funding from multiple agencies, it will be critical to minimize the burden of complying with multiple agency public access plans. USAID will coordinate with partner agencies to further streamline these requirements for datasets and publications.

USAID will also work with other agencies and the private sector to provide training and workforce development related to scientific data management, analyses, and stewardship. Through inter-agency meetings, USAID will learn about efforts by other federal agencies and leverage them as appropriate. USAID is actively involved in the White House Data Cabinet to ensure that the Agency gleans best practices in data management from other agencies. USAID has already designated Data Stewards in various operating units who serve as primary points of contact for open data issues including the facilitation of training around data management.

4.3.10. Public Notice

USAID is in the process of transferring the DDL clause from internal Agency policies into the AIDAR through a rulemaking process. As part of this process, the general public will have an opportunity to comment on any aspects of the proposed rule. At the completion of the rulemaking process for acquisitions, corresponding changes will be made to the DEC and DDL assistance provisions in ADS 303. Similarly, if additional revisions are necessary, changes to the DEC clause would be proposed through rulemaking.

For public feedback on the Public Access Plan, USAID will use Stack Exchange, a distributed version control social network website. The Agency used Stack Exchange to solicit feedback on implementation of USAID's Open Data Policy and will leverage it for implementing the features of the Public Access Plan. When approved, USAID's Public Access Plan will be posted at

https://www.usaid.gov/policy/scientific-research and also posted on the USAID Open Government Website at https://www.usaid.gov/open.

4.3.11. Update and Re-evaluation of the Plan

A USAID working group will review and re-evaluate this Plan annually, or more frequently as needed, to coordinate updates to systems and processes and incorporate any new policy to enhance its effectiveness. USAID will amend this Plan as needed in consultation with OSTP and OMB and will report to OSTP twice a year the implementation status for the first two years after the Plan goes into effect.

4.3.12. Timeline for Implementation

USAID already implements the major components of this Public Access Plan. The Plan's implementation timeline in its entirety will be included as part of the broader timeline for implementing the Agency's Open Data Policy and the mandates of OMB memorandum M-13-13. A provisional timeline is as follows:

October 2016: Obtain final clearance by Agency leadership. Commence implementation of the Public Access Plan, including:

> **November 2016** – Consult with stakeholders, such as USAID staff, implementing partners, academic institutions, and private sector**;** identify changes to mandatory clauses and provisions for USAID awards and, if necessary, pursue rulemaking; and identify and initiate revisions to relevant ADS chapters, as necessary.

> **January 2017 –** Develop training modules for AORs/CORs and other Agency employees.

> **February 2017** – If rule making is required, submit the final proposed draft of the revised DEC clause and draft economic impact analysis to M/OAA for initiation of the rulemaking process and submission to OMB/OIRA.

March 2017: Begin training sessions for Agency employees, including AORs/CORs. Report on implementation status to OSTP and OMB.

July 2017: Complete revisions to the ADS. Update on implementation status to OSTP and OMB.

January 2018: Update OSTP and OMB on implementation status.

July 2018: Update OSTP and OMB on implementation status.

November 2018: Finalize clauses for contracts and grants (Notional target date).

January 2019: Update OSTP and OMB on implementation status.

4.3.13. Resources

USAID will use the existing DEC system, the DDL system, and award-related language to implement the requirements of the Plan. USAID is also in the process of establishing an overarching solution to harmonize information management across multiple Agency systems. The Development Information Solution (DIS) will harness data for decision-making, improve efficiencies across the entire program cycle, and connect management information from strategy to results. It will allow staff to map project locations, manage performance indicator data, plan acquisitions and assistance, and manage detailed operational budgets. As a result, USAID will be able to aggregate data from multiple Missions, Operating Units, and other enterprise systems, and present the Agency's entire portfolio with unprecedented clarity, detail, and accuracy. USAID will implement the requirements of this Plan collaboratively using an intra-agency approach. The Lab will serve as the business lead for implementation, providing subject matter expertise as the Agency's lead for its Scientific Research Policy. PPL will facilitate integration of the content in the Agency's programmatic policies and Policy Registry. M will serve as the technical lead, facilitating implementation through technology configuration, operations policy, and procurement-related guidance. USAID will provide sufficient staffing and resources to govern and manage the implementation of this Plan. An estimated budget to support its implementation will be requested through the Agency's normal budget development cycle.