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# NOAA Plan for Increasing Public Access to Research Results

A Response to the White House Office of Science and Technology Policy  
Memorandum *Increasing Access to the Results of Federally Funded Scientific  
Research* issued February 22, 2013

prepared by  
the NOAA Research Council  
*ad hoc* Public Access to Research Results Committee

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# NOAA Plan for Increasing Public Access to Research Results

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# 1. Background and Purpose

This National Oceanic and Atmospheric Administration (NOAA) plan to increase Public Access to Research Results (PARR) describes activities that will be undertaken by NOAA in order to meet the goals and requirements of the White House Office of Science and Technology Policy (OSTP) Memorandum *Increasing Access to the Results of Federally Funded Scientific Research*<sup>1</sup> issued 2013 February 22 (hereafter referred to as the OSTP PARR Memo). The goal of the OSTP PARR Memo is to increase the public accessibility of publications and digital data produced by federal researchers or by recipients of federal funds. These results were funded by taxpayers, and improving access to them should help move science and our economy forward. The OSTP objectives for digital data are in excellent agreement with those expressed in the *NOAA Environmental Data Management Framework*.<sup>2</sup>

To the extent feasible and consistent with applicable law and policy, agency mission, resource constraints, and U.S. national, homeland, and economic security, the NOAA PARR plan supports the objectives of the OSTP PARR Memo regarding publications and data. The NOAA PARR Plan also supports the provisions of the US Open Data Policy regarding public agency data inventories and the use of machine-readable and open formats, data standards, and common core and extensible metadata for all new information creation and collection efforts. Specific NOAA actions are described in Section 7, below, of the NOAA PARR plan, and each action includes reference(s) to the corresponding objective of the OSTP PARR Memo. The NOAA PARR plan is designed to promote the goal of maximizing the impact and accountability of the Federal research investment.

The following core principles apply to the NOAA plan:

- Publications and environmental data funded through taxpayer dollars will be made publicly accessible in a timely fashion.
- In the case of articles published by limited-access journals, NOAA will require an embargo period of no more than 12 months prior to free public access, consistent with guidance from OSTP.
- Additional paperwork, administrative hurdles, and reporting requirements for researchers creating data or publications will be minimized.
- Existing activities, systems, and approaches will be leveraged and reused to minimize duplicative, incompatible, or wasted effort.

This plan was developed and revised by the *ad hoc* Public Access to Research Results Committee established by the NOAA Research Council in response to the OSTP memorandum. PARR Committee members were:

- Dr Jeff de La Beaujardière (co-chair, as NOAA Data Management Architect)
- Dr Neal Kaske (co-chair, as Director of NOAA Central & Regional Libraries)
- Dr Danielle Tillman (NOAA Research Council liaison)
- Dr Mark Brady (NMFS)
- Paul Comar (NOS)
- LCDR Cecile Daniels (OMAO)
- Ingrid Guch (NESDIS)
- Douglas Perry (OMAO)

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<sup>1</sup>[http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp\\_public\\_access\\_memo\\_2013.pdf](http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf)

<sup>2</sup><https://www.nosc.noaa.gov/EDMC/framework.php>

- Allen Shimada (NMFS)
- Ronald Stouffer (OAR)
- Harry Tabak (NWS)
- Dr Marina Timofeyeva (NWS)

## 2. Scope

- The NOAA PARR Plan applies to **research results**, defined by the OSTP PARR Memo as (1) the results of unclassified research directly arising from Federal funding that are published in peer-reviewed publications and (2) digitally formatted scientific data resulting from unclassified research supported wholly or in part by Federal funding. "Federal funding" is as defined in OMB Circulars A-11 and A-21.
- For NOAA-produced research results, the Plan applies to all future results, and to all past, current and future results from current or future Programs. The Plan also applies to all legacy results archived at one of the NOAA National Data Centers.<sup>3</sup> The OSTP PARR Memo states that agencies must protect "confidentiality and personal privacy [and] intellectual property rights" and must consider "the balance between the relative value of long-term preservation and access and the associated cost and administrative burden." Therefore, the NOAA PARR Plan recognizes that some results may not be readily accessible or permanently archived, but that decisions to withhold access or omit long-term preservation must be explicit and justified.
- The Plan does not apply to non-archived legacy results that were produced by NOAA Programs which no longer exist, unless those results are deemed worthy of preservation by an existing Program which identifies the necessary resources for archiving. NOAA recognizes that this means some historical results may be lost, but NOAA does not have the resources necessary for comprehensive data rescue. The EDMC *Procedure for Scientific Records Appraisal and Archive Approval*<sup>4</sup> defines how the Data Centers assess whether or not to archive particular datasets based on considerations such as long-term value of the data and storage, network, or personnel resources needed.
- For research results produced by NOAA grantees, cooperative institutes, and contractors, the Plan applies to results produced after the effective date of the Plan and is not retroactive.
- For NOAA, "scientific data" specifically means **environmental data**, which are defined by NOAA *Administrative Order (NAO) 212-15*<sup>5</sup> as "recorded and derived observations and measurements of the physical, chemical, biological, geological, and geophysical properties and conditions of the oceans, atmosphere, space environment, sun, and solid earth, as well as correlative data, such as socio-economic data, related documentation, and metadata." NAO 212-15 goes on to state that "Media, including voice recordings and photographs, may be included," but for the purposes of the NOAA PARR plan we include only digital imagery, audio recordings, or video recordings of environmental phenomena (such as recordings of animal sounds or undersea video). Numerical model outputs, and data from laboratory experiments, are included in this definition and should be considered for access and archiving. Non-digital media (paper, analog tape), physical specimens, and preserved samples are not included. Software, other than tools required to ingest or read data in the formats offered, is not included in this definition.

<sup>3</sup> Includes the National Climatic Data Center (NCDC, <http://ncdc.noaa.gov/>), National Geophysical Data Center (NGDC, <http://ngdc.noaa.gov/>), and National Oceanographic Data Center (NODC, <http://www.nodc.noaa.gov>).

<sup>4</sup>[https://www.nosc.noaa.gov/EDMC/documents/NOAA\\_Procedure\\_document\\_final\\_12-16-1.pdf](https://www.nosc.noaa.gov/EDMC/documents/NOAA_Procedure_document_final_12-16-1.pdf)

<sup>5</sup>[https://www.nosc.noaa.gov/EDMC/nao\\_212-15.php](https://www.nosc.noaa.gov/EDMC/nao_212-15.php)

- For NOAA, "publications" shall also include NOAA technical reports and professional papers issued or sponsored by NOAA, in addition to peer-reviewed publications as covered by the OSTP PARR Memo.

### 3. Requirements and Recommendations

The majority of this plan refers to requirements or activities that already exist, especially in the context of environmental data. This plan also includes tasks that may impose additional requirements on, or provide recommendations to, NOAA and external entities funded by NOAA, particularly as related to publications. The Implementation section of the plan (§7) provides the detail, but conceptually the following are discussed:

- NOAA Programs that produce data or perform research shall, within their own budgets, allocate resources for data access and archiving or justify the absence of such resources (see Section 14).
- *NOAA Program Managers, or other designated officials or supervisors, shall enforce the provisions of this Plan for the research results they produce internally or support via contracts (see Section 8).*
- NOAA will continue to require intramural data producers to develop comprehensive data management (DM) plans, to document their data with metadata, to submit approved data to a National Data Center for long-term preservation, and to make their data publicly accessible.
- NOAA will continue to require extramural grantees to include a data sharing plan in their proposals, and if awarded to make the resulting data visible, accessible, and independently understandable (that is, well documented with structured metadata) to users in a timely manner (typically within two years).<sup>6</sup>
- NOAA will encourage and support long-term preservation of some, but not all, extramural data based on existing guidelines for archive approval.
- NOAA, in consultation with OSTP, will implement a new requirement that publication authors, both intramural and extramural, deposit final NOAA technical reports and final pre-publication manuscripts in a document repository identified by NOAA.
- NOAA will leverage existing Data Centers and will not create new ones as part of this Plan.
- NOAA will continue assigning permanent identifiers to archival datasets, and will provide guidelines for citing data used in publications.

External to NOAA, we note that journal publishers have stated they will make copies of published papers freely available, possibly after an embargo period of ~12 months, through the Clearinghouse for the Open Research of the United States (CHORUS).<sup>7</sup> Also, the university community is planning to make the final manuscripts of articles and research data sets available through Shared Access Research Ecosystem (SHARE).<sup>8</sup>

The policies and activities described in this Plan will enhance innovation and competitiveness by maximizing the potential to create new business opportunities from the wealth of NOAA environmental observations and published results based on those data.

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<sup>6</sup> <https://www.nosc.noaa.gov/EDMC/documents/EDMC-PD-DSP.pdf>

<sup>7</sup> <http://chorusaccess.org/>

<sup>8</sup> <http://www.arl.org/focus-areas/shared-access-research-ecosystem-share>

## 4. Applicability

The policies to be developed or revised pursuant to this Plan apply, in whole or in part, to NOAA Programs, NOAA federal employees, NOAA contractors, and proposers or recipients of NOAA grants or cooperative agreements, if their work produces, or commissions the production of, environmental data or publications.

## 5. Authority

Governance documents applicable to this plan include:

- US Open Data Policy (2013 May 9 Executive Order<sup>9</sup> and OMB Memorandum M-13-13<sup>10</sup>)
- OMB Circular A-16<sup>11</sup> (2002, revised 2010)
- US Digital Government Strategy<sup>12</sup> (2011)
- *NOAA Next Generation Strategic Plan* (NGSP)<sup>13</sup>
- *NOAA Administrative Order (NAO) 212-15*<sup>3</sup>
- *NAO 205-17A: Information Access & Dissemination*<sup>14</sup>
- NOAA Environmental Data Management Committee (EDMC) Procedural Directives (PDs)<sup>15</sup>

## 6. Roles and Responsibilities

NOAA entities responsible for executing each aspect of this plan are indicated in the description of the tasks in the Implementation section (§7) of this plan. Responsible entities include:

- NOAA Central & Regional Libraries and other NOAA libraries
- NOAA Environmental Data Management Committee (EDMC)
- NOAA Acquisition & Grants Office (AGO)
- NOAA grant-issuing Programs
- NOAA Research Council (NRC)
- NOAA National Data Centers (NCDC, NGDC, NODC)
- NOAA Data Management Architect (DMA)
- NOAA Data Management Integration Team (DMIT)
- NOAA and Department of Commerce Offices of General Counsel
- NOAA Line and Staff Offices

## 7. Implementation

This section defines the actual scope of work under this plan. The work breakdown includes policies applicable to extramural grantees (7.1), publication-specific tasks (7.2), data-specific tasks (7.3), and tasks related to the linkage between publications and data (7.4).

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<sup>9</sup>[http://www.whitehouse.gov/the-press-office/2013/05/09/executive-order-making-open-and-machine-readable-new-default-government-](http://www.whitehouse.gov/the-press-office/2013/05/09/executive-order-making-open-and-machine-readable-new-default-government)

<sup>10</sup><http://www.whitehouse.gov/sites/default/files/omb/memoranda/2013/m-13-13.pdf>

<sup>11</sup>[http://www.whitehouse.gov/omb/circulars\\_a016\\_rev](http://www.whitehouse.gov/omb/circulars_a016_rev)

<sup>12</sup><http://www.whitehouse.gov/sites/default/files/omb/egov/digital-government/digital-government.html>

<sup>13</sup><http://www.ppi.noaa.gov/ngsp/>

<sup>14</sup>[http://www.corporateservices.noaa.gov/ames/administrative\\_orders/chapter\\_205/205-17.html](http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_205/205-17.html)

<sup>15</sup><https://www.nosc.noaa.gov/EDMC/PD.all.php>

NOAA's plan ensures that all extramural researchers receiving Federal grants and contracts for scientific research and intramural researchers develop data management plans describing how they will provide for long-term preservation of, and access to, scientific data in digital formats resulting from federally funded research, or explain why long-term preservation and access cannot be justified. Extramural grantees are subject to the policy described in 7.1.1, while intramural researchers and contractors are subject to the various directives described in Section 7.3.

Most of the tasks described in this Plan are a continuation or refinement of existing or planned policies and activities. The only wholly-new tasks are the method to provide access to published papers (Section 7.2.1) and a NOAA Publications Policy (7.2.2). In each task description, we indicate which requirement(s) of the OSTP memorandum the task addresses. Implementation of tasks in this plan may be subject to negotiation with bargaining units.

## **7.1. Grantee-Specific Tasks**

### **7.1.1. *Revise Grantee Data Sharing Policy***

The EDMC issued a *NOAA Data Sharing Policy for Grants and Cooperative Agreements*<sup>16</sup> in 2012. This existing policy requires (1) that proposals from extramural groups include a plan for making data publicly accessible, and (2) that data resulting from funded proposals be shared in a timely fashion (typically no later than two years after the data are collected or created). The policy refers to "data sharing plans," which are similar to the "data management plans" required by National Science Foundation (NSF) grantees but are less comprehensive than the DM plans required for NOAA intramural projects (see section 7.3.1). Data sharing plans are reviewed as part of the process for considering grant proposals. Specific language was approved by Office of General Counsel for inclusion in announcements of opportunity and notices of award. The existing policy refers only to data access ("sharing") and not long-term archiving for potential future users.

The *NOAA Data Sharing Policy* will be revised by EDMC to impose requirements both on NOAA Programs that issue grants and on grant recipients, and to indicate that grant programs must consider whether the resulting data are likely to be worthy of archiving. All grants, contracts, and cooperative agreements will include requirements for data management planning consistent with the goals of the *Data Sharing Policy*. Terms and Conditions will include language that requires scientists seeking funding to describe how and where they will make their data available to the public and explicitly require the data that underlie the conclusions of peer-reviewed scientific publications be made available for discovery, retrieval, and analysis for free at the time of publication. Appropriate exceptions to these guidelines will also be outlined.

As indicated in the timeline in Section 13, revision will occur during FY2015, legal review will be performed in FY2016 Q1, and provisions will take effect in FY2016 Q2.<sup>17</sup> Specifically:

- NOAA Programs, prior to issuing new announcements of grant opportunities, shall be required to develop, and to reference in the announcement, a high-level DM plan describing how the NOAA Program expects data likely to result from the funded grants to be made accessible and preserved for future use. Short-term access may be enabled through existing NOAA program

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<sup>16</sup> <https://www.nosc.noaa.gov/EDMC/PD.DSP.php>

<sup>17</sup> Note that policies involving extramural researchers require greater legal review than internal directives.

facilities and centers of data, or through grantee facilities, or through the SHared Access Research Ecosystem (SHARE)<sup>8</sup> maintained by the academic community. However, at NOAA long-term preservation and access (on the scale of decades or more) are guaranteed only by the NOAA National Data Centers. Program-level DM plans shall include a preliminary statement regarding appropriate access points and whether or not the resulting data are likely to be worthy of long-term preservation and, if so, where they should be archived. To streamline communication between external grantees and NOAA National Data Centers, NOAA Programs that find grantee data worthy to be archived at NOAA shall be required to make initial contact with the appropriate Data Center to ensure available funding, capacity, and methods for archival submission.

- NOAA EDMC shall develop a template (by FY2016 Q1) of a data sharing plan for inclusion in announcements of opportunity and shall provide guidelines for reviewers to evaluate the quality of submitted data sharing plans. Scientists seeking funding will be required to describe how and where they will make their data available to the public and explicitly describe how they will make the data that underlies scientific publications available for discovery, retrieval, and analysis.
- NOAA Programs, at their discretion, may include a requirement in Notices of Award that grantees submit data developed with NOAA funding to a NOAA National Data Center (unless deemed not necessary or cost-effective to archive by the grantor's DM plan or through discussion with a Data Center). The EDMC *Procedure for Scientific Records Appraisal and Archive Approval*<sup>A</sup> provides guidance for Data Centers on whether to accept submissions.
- Grant proposals shall include a Data Sharing plan compatible with the high-level DM Plan provided by the NOAA program originating the grant opportunity.
- Funded grantees shall be required to make their data accessible in a timely fashion, typically not more than one year after data collection. This is a shortening of the timescale compared to the original version of the policy. A provision to that effect shall be included in the grant award. Grantees will be required to make the data underlying the conclusions of peer-reviewed scholarly publications available for free at the time of initial publication in appropriate repositories.
- Funded grantees shall be required to submit data for archiving to a NOAA National Data Center if the NOAA program originating the grant opportunity has included that requirement.
- Grantees shall be required to specify funding sources using the FundRef<sup>18</sup> mechanism when papers are submitted for publication. (Publishers have established FundRef to gather this information in a more structured way than the current practice of a free-text acknowledgements section. FundRef allows multiple funding sources to be identified, and enables agencies to determine what published papers were supported in whole or in part by their funds.)
- Grantees shall be required to submit a digital copy of final pre-publication manuscripts to the NOAA Institutional Repository (see Section 7.2.1) once accepted for publication and the final pre-publication copy is available.
- NOAA grant programs, at their discretion, may state that reasonable costs of data sharing and archiving are allowed to be included in the proposal budget.

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<sup>18</sup><http://crossref.org/fundref/>



All requirements imposed by this plan on extramural grantees or cooperative agreements will be incorporated in this revised policy, which will require review by Office of General Counsel (section 11). The other policies or procedures discussed in this plan apply to NOAA employees and contractors.

*Responsible: NOAA Programs, NOAA grantees, EDMC, AGO, NOAA National Data Centers, Office of General Counsel, NOAA Central Library*

*PARR Requirement<sup>19</sup> : 4.a.iii, 4.b, 4.c, 4.d, 4.f*

### **7.1.2. Establish Grant Compliance Process**

NOAA will use existing mechanisms to check on past performance of grantees, and if necessary augment or improve compliance verification, to ensure NOAA grant recipients are made aware of their obligations and to track compliance with requirements in the Data Sharing policy as revised. Specifically, funding announcements will state these obligations as part of the proposal instructions, and funding awards will include language stating the obligations. The process must minimize additional burdens on NOAA Programs, individual investigators, and institutions as much as possible.

*Responsible: AGO, NOAA Research Council Cooperative Institute Committee*

*PARR Requirement: 2.d, 2.e*

## **7.2. Publication-specific tasks**

The tasks described in this section are specific to publications based on environmental data rather than to the actual environmental data.

### **7.2.1. Establish Institutional Repository**

Requirement 3.a of the OSTP memo states that agencies must "ensure that the public can read, download, and analyze in digital form final peer-reviewed manuscripts or final published documents within a timeframe that is appropriate for each type of research conducted or sponsored by the agency." Requirement 3.f goes on to state that agencies must provide for "access to the content without charge" and "ensure that publications and [bibliographic] metadata are stored in an archival solution that provides for long-term preservation." To meet these requirements NOAA will establish a Repository providing search, access, and archiving of research manuscripts.

Both intramural and extramural researchers shall be required to submit their final pre-publication manuscripts to the NOAA Institutional Repository (to be established as described below) upon acceptance of the paper by a journal. The NOAA Institutional Repository web interface will allow the public to search for publications and shall provide access for persons with disabilities consistent with Section 508 of the Rehabilitation Act of 1973. Submitted manuscripts shall be required to be in an accessible format (for example, Adobe Portable Document Format [PDF] with Adobe Accessibility Check performed). Full standard bibliographic metadata for each paper will be publicly available at the time the article is published by the journal. The bibliographic metadata will include the Digital Object Identifier (or other link if a DOI has not been assigned) of the published version, thereby allowing users to retrieve the article (possibly requiring payment during the embargo period). After the embargo has

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<sup>19</sup> These requirement numbers refer to elements of the 2013 OSTP Memorandum

[http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp\\_public\\_access\\_memo\\_2013.pdf](http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf)

elapsed, the manuscript itself shall automatically be made available by NOAA publicly and free of charge.

The Repository will provide search and retrieval mechanisms that will allow the public to access these resources via both user interface and machine-readable API. The resources will be stored in standard digital formats for which access methods are widely available. NOAA will migrate the resources to newer versions of these formats when NOAA determines that such migration is in the best interest of long-term storage and public access. In all cases, NOAA will maintain the original digital version of these resources to ensure historical accuracy.

In addition, the Clearinghouse for the Open Research of the United States (CHORUS),<sup>7</sup> proposed by a consortium of publishers including most of the major journals, has stated it will provide free access, possibly after embargo, to articles directly from the publishers' own systems. This method could provide access to the as-published version of the article. However, the NOAA Institutional Repository will ensure public accessibility and archiving of at least the final manuscript in the event CHORUS is not adopted by the journals in which NOAA staff publish.

NOAA already has a repository established by NOAA Library in partnership with Department of Commerce (DOC) National Technical Information Service (NTIS) for documents relating to the Deepwater Horizon oil spill. Plans are underway to establish a new NOAA Institutional Repository whose scope will include the final pre-publication manuscripts of NOAA-authored and NOAA-sponsored unclassified research papers as well as NOAA technical reports, data reports, technical memoranda, and other discrete documents. Documents intended for internal use only or materials developed for litigation would not be included.

NOAA reviewed the functionality of the Centers for Disease Control (CDC) repository system known as CDC Stacks<sup>20</sup> and found that it meets NOAA requirements for metadata storage, metadata display, and search functionality sufficient to allow the ability to search, download, read, and analyze publications in machine-readable digital format, and that it provides an archival solution which uses standard, widely available archival formats for text and associated content (such as images, video, and supporting files). NOAA and CDC will enter into an interagency agreement and begin implementation of the new NOAA Institutional Repository in January 2015. The agreement will state that CDC will be the systems provider and NOAA Central Library will be the contact manager.

The CDC Repository system is designed to freely share the metadata records associated with a publication. There is no automated system for downloading all publications in CDC Stacks, which limits unauthorized redistribution. Users can request a copy of the publications that can be freely redistributed based on the publication's license.

Once a manuscript is placed in the Institutional Repository it will be preserved there as an archival copy; format migration may be performed as technologies evolve, but the content will not be otherwise changed. The Repository will be backed up on a regular basis and stored on a redundant site.

The NOAA Institutional Repository will facilitate search and analysis of scholarly publications and other documents directly arising from research funded by NOAA as well as other documents not generally

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<sup>20</sup> <http://stacks.cdc.gov/>

published elsewhere. In some cases, for work sponsored only in part by NOAA, the NOAA Repository may contain only bibliographic metadata with links to the location of the document on the other sponsor's site.

Any stakeholder may petition for a change in the embargo period by emailing the Executive Secretariat of the NOAA Research Council with the details of the change requested at [oar.rc.execsec@noaa.gov](mailto:oar.rc.execsec@noaa.gov) ; a decision will be made and communicated to the requesting stakeholder within 120 days. Requests to change the embargo period must include evidence that outweighs the public benefit of having the embargo remain at one year. Given the interdisciplinary nature of research today, NOAA may contact other agencies or departments to coordinate embargo policies. Researchers who wish their papers made freely available prior to expiration of the embargo period may publish in journals where open or earlier access is the norm, or may pay for open access in journals which offer that option.

NOAA will include sufficient metadata to allow for creation of collections within the Repository to meet specific retrieval needs, including specific programs, provenance of resources, topical areas, funding sources, and other areas for which NOAA determines a need. The NOAA Central Library will capture or create metadata for NOAA-funded peer-reviewed publications through a variety of methods. Specifically, Library staff will perform automated searches of online databases such as Web of Science that contain bibliographic information for most NOAA publications and capture metadata for these items in a local EndNote database. Library staff will manually cross-check this listing against a listing of upcoming publications issued by NOAA Office of the Undersecretary. In addition, library staff will establish workflows with NOAA offices that produce manuscripts to obtain the digital objects and metadata required to archive these objects in the Repository. Library staff will establish these collection networks via librarians, authors, or other contacts within each Line Office, as appropriate.

The Library staff will load these submission packages (metadata + manuscripts + additional files) into the Repository. The metadata for each article will feature digital object identifiers (DOIs) for the published version of the article, as well as an embargo end date. Prior to the embargo end date the system will block access to the manuscript but permit access to the published version.

The NOAA Library is currently tracking the peer-reviewed publications authored by NOAA staff and has full bibliographic information for each publication including the DOI. This effort started with FY 2012 and could be expanded to extramural peer-reviewed publications at some point in the future, but it would require additional funding for the Library.

*Responsible: NOAA Central Library*

*PARR Requirement: 2.a, 3.a, 3.a.i, 3.b, 3.c, 3.d, 3.f.i, 3.f.ii, 3.f.iii, 3.f.iv*

### **7.2.2. Develop NOAA Publications Policy**

NOAA will develop a *Public Access Policy for Scholarly Publications* to supplement its newly revised NOAA Administrative Order (NAO 205-17A) *Information Access & Dissemination*<sup>21</sup>. The NAO designates the NOAA Central Library as the information repository for scientific and technical publications, and requires the Library to provide access to and preserve the published results of NOAA's research. The

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<sup>21</sup>[http://www.corporateservices.noaa.gov/ames/administrative\\_orders/chapter\\_205/205-17.html](http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_205/205-17.html)

NAO requires the Library to develop and maintain metadata describing NOAA publications.<sup>22</sup> The *Public Access Policy for Scholarly Publications* to be developed will address additional issues as needed to ensure consistency with the PARR requirements. Included in the policy will be a requirement for authors to use the FundRef<sup>14</sup> mechanism to indicate which funding source(s) supported the research reported in the paper. In addition, the policy will include an approach for optimizing search, archival, and dissemination features that encourages innovation in accessibility and interoperability and facilitates analysis, while ensuring long-term stewardship of the results of federally funded research and access to content without charge.

Requirements specifically for extramural grant recipients will also be explained in the Grantee Data Sharing Policy discussed in Section 7.1.1.

*Responsible: NOAA Central Library (writing); NOAA Research Council (approval and issuance)*  
*PARR requirement: 3.a, 3.b, 3.c, 3.e, 3.f*

### **7.3. Data-specific tasks**

The tasks described in this section are specific to digital environmental data rather than to publications. In addition to these tasks, NOAA will continue existing efforts to make observations, derived products, model outputs, and other environmental information available to the public. To the extent feasible and consistent with applicable law and policy, agency mission, resource constraints, U.S. national, homeland, and economic security, and the objectives listed below, digitally formatted scientific data resulting from unclassified research supported wholly or in part by Federal funding should be stored and publicly accessible to search, retrieve, and analyze. This section describes how NOAA will improve data management planning, maintain an agency data inventory, document its data, augment data accessibility, and improve data preservation.

#### **7.3.1. Revise and Enforce Data Management Planning Procedural Directive**

The EDMC issued a *Data Management Planning Procedural Directive*<sup>23</sup> in 2011. This directive applies to NOAA employees and contractors,<sup>24</sup> and states that producers of environmental data must plan -- preferably in advance -- how they will provide for data access, how they will document their data, and how they will ensure its long-term preservation. The directive provides a DM plan template consisting of a series of questions regarding how project data will be managed.

A revised version of the *Data Management Planning Procedural Directive* will be issued in late 2015 which:

- Adds language indicating that NOAA Programs that produce environmental data, or that issue contracts to produce data, are responsible for writing a data management plan and for ensuring the data they produce are made accessible and are appropriately managed.
- Augments the DM plan template to include question(s) regarding whether funds have been identified in the project budget to manage the data.

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<sup>22</sup>See [http://www.lib.noaa.gov/researchtools/subjectguides/noaa\\_publications.html](http://www.lib.noaa.gov/researchtools/subjectguides/noaa_publications.html) for a current running list of NOAA-authored publications and links to full attribution information.

<sup>23</sup><https://www.nosc.noaa.gov/EDMC/PD.DMP.php>

<sup>24</sup> Extramural grantees are subject to the Data Sharing Policy described in Section 7.1.1.

- Streamlines the existing template to remove redundant or unneeded questions.

To ensure that intramural researchers comply with data management policies, NOAA will assess on an annual basis whether each of its Observing Systems of Record has filed a DM plan, established a data access mechanism, and sent data to an archival data center for long-term preservation. Such an assessment was first performed in FY2013, at which time approximately one-third of the observing systems had a DM plan. These metrics will be reported to the NOAA Observing Systems Council to encourage the development of DM Plans, and to the Chief Information Officer (CIO) Council to enforce the inclusion of a DM Plan in requests for funding the IT costs of projects that produce data and disclosed publicly on the NOAA EDMC web site at <https://www.nosc.noaa.gov/EDMC/>.

*Responsible: EDMC, NOAA Line and Staff Offices*

*PARR requirement: 4.c, 4.d, 4.e*

### **7.3.2. Maintain Agency Data Inventory**

The US Open Data Policy<sup>6,7</sup> mandated the creation of a comprehensive inventory of agency data. The NOAA Data Catalog (<http://data.noaa.gov/>), established in November 2013, enables discovery of NOAA's public research data holdings and satisfies both OSTP PARR Memo and US Open Data Policy requirements. The NOAA Data Management Architect (DMA), members of the Data Management Integration Team (DMIT), and the NOAA Office of the CIO (OCIO) are involved in maintaining this inventory. NOAA will, at a minimum, include the common core metadata schema in use by the federal government, found at <https://project-open-data.cio.gov/>. This catalog is part of the comprehensive public listing of agency data that was required by the Executive Order of May 9, 2013 and OMB Memorandum M-13-13. The JSON file for the current public listing of datasets is provided at <https://data.noaa.gov/data.json>.

*Responsible: DMA, DMIT, NOAA OCIO*

*PARR Requirement: 2.b, 2.c, 4.a*

### **7.3.3. Continue implementation of Data Documentation Procedural Directive**

The EDMC issued a *Data Documentation Procedural Directive*<sup>4</sup> in 2011 that requires environmental data to be comprehensively described using structured metadata based on the International Organization for Standardization (ISO) 19115 and 19139 standards (known as "ISO Metadata"). Such metadata are essential for data to be properly included in and discovered via a catalog or inventory (§7.3.2), for proper understanding and use of data that are made available publicly (i.e., to users who are not already familiar with the data), for data preservation (§7.3.5), and for the creation of dataset landing pages (§7.4.1). The NOAA National Data Centers are developing training and tools for metadata creation and for automatically assessing metadata completeness. NOAA will continue implementation of this Directive and the associated tools and training. The metadata for scientific data will include, at a minimum, the common core metadata schema<sup>25</sup> in use by the Federal government but are typically much richer.

*Responsible: EDMC, NOAA National Data Centers*

*PARR requirement: 4h, 4.i*

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<sup>25</sup> <https://project-open-data.cio.gov/>

#### **7.3.4. Issue Data Access Procedural Directive**

The EDMC will issue a *Data Access Procedural Directive* in early 2015 that will require data produced internally or via contracts to be made publicly discoverable through the agency data inventory and publicly accessible via online services in widely-used machine-readable formats. No single format or service is applicable to all NOAA data, but the directive will recommend appropriate formats and services for particular classes of data. Many NOAA datasets are already available online in standard formats, and continuing this work will help establish a federated system of services. Existing formats and services can be maintained alongside standard ones if needed to serve existing customers.

Use of standard formats and machine-readable services is mandated by the federal Open Data Policy.<sup>6,7</sup> Coordination with other agencies regarding standards will occur through the mechanisms described in Section 10.

The Data Access directive will discuss timeliness of data access (how long data can remain internally-held before they are publicly released). The NOAA EDM Framework<sup>2</sup> discusses timeliness in section 2.1.1, stating in part that "NOAA data should be made publicly available with minimum time delay after capture" but that the timeliness may not be the same in all cases. The EDM Framework also discusses data quality (section 2.1.3).

*Responsible: EDMC, NOAA Line and Staff Offices*  
*PARR requirement: 2.b, 4a*

#### **7.3.5. Continue Data Preservation Activities**

NOAA has considerable expertise in ensuring the long-term preservation of scientific data, and has well-established repositories for scientific data in digital formats. Specifically, NOAA maintains three world-class National Data Centers specializing in the long-term preservation and stewardship of environmental data: the National Climatic Data Center (NCDC, established in 1951), National Geophysical Data Center (NGDC, 1965), and National Oceanographic Data Center (NODC, 1961). Much of the data produced by NOAA is already sent on a routine or automated basis to these archives. NOAA will continue efforts to ensure intramural datasets are submitted for long-term preservation. Also, as described in Section 7.1.1, NOAA will endeavor to archive extramural data of long-term relevance but likely cannot archive everything. Finally, some model outputs are worthy of long-term preservation, but their considerable volume makes it infeasible to permanently archive all outputs.

*Responsible: NOAA National Data Centers, EDMC*  
*PARR requirement: 4.a.iii, 4.f, 4.j*

#### **7.3.6. Cooperate with Private Sector to Improve Data Access and Compatibility**

NOAA will continue its long-standing membership in the Open Geospatial Consortium (OGC), which develops interoperability standards for data access, discovery, and formatting. OGC members includes private-sector companies that develop software for geospatial data, and government agencies at federal, state, and international levels, and academic institutions. The NOAA Data Management Architect (DMA) in the Technology, Planning, and Integration for Observations (TPIO) program funds the annual OGC membership dues on behalf of NOAA and maintains a mailing list for discussing OGC-related activities.

*Responsible: DMA, NOAA OGC Interest Group*  
*PARR requirement: 4.g*

### **7.3.7. Continue Support for Educational Activities**

NOAA will continue, and if possible enhance, its support for training and workforce development activities related to DM. Current efforts include:

- Annual NOAA Environmental Data Management Workshop.
- Free metadata training classes offered by National Coastal Data Development Center (NCDDC).
- Grant to Earth Science Information Partners (ESIP) Federation, which among other activities has developed a DM training course and holds bi-annual meetings.

NOAA will continue to monitor the progress of SHARE, CHORUS, and other relevant activities and use their training resources as appropriate. NOAA will also participate in interagency training activities relevant for it to effectively implement its PARR plan.

*Responsible: DMA, NCDDC, and others*  
*PARR requirement: 2.d, 4.i*

### **7.3.8. Clarify Handling of Limited-Access Data**

NAO 212-15 states that "environmental data will be visible, accessible and independently understandable to users, except where limited by law, regulation, policy (such as those applicable to personally identifiable information or protected critical infrastructure information or proprietary trade information) or by security requirements." Accessible data must be free of charge or no more than the cost of reproduction (per 44 U.S.C. § 3506 (d) (4) (D) *Paperwork Reduction Act* and OMB Circular A-130 *Management of Federal Information Resources*). Nearly all NOAA data can be made publicly available as-is. For the few datasets that must be restricted, the *Data Access Procedural Directive* (Section 7.3.4) will include an exemption only in limited cases through filing a waiver approved at the Associate Administrator level; waivers will be required to state the applicable law, policy, or requirement that justifies lack of access. The existing policy is to provide open access unless permission to deny access is explicitly granted, but at present the determination to withhold data is made at a low level and not typically reviewed. The waiver approach will put the paperwork burden on those who wish to limit access.

Some data that would be restricted can be made public after aggregation. For example, commercial fishing trip data includes names of vessels and catch information. Removing confidential information involves taking trip-level data and aggregating it so that no individual trip data remains. NOAA will continue to protect confidentiality and personal privacy, and to recognize proprietary interests, business confidential information, and intellectual property rights, and will avoid significant negative impact on intellectual property rights, innovation, and U.S. competitiveness. NOAA and DOC Offices of General Counsel will be engaged as appropriate to provide input on and assist in the implementation of this section.

*Responsible: NMFS, NOAA Grant Programs, Line, and Staff Offices, NOAA CIO*  
*PARR Requirement: 4.a.i, 4.a.ii*

## **7.4. Linkage of Publications and Environmental data**

The tasks described in this section apply to the ability to link publications and data by citing specific datasets in the reference list of a publication (much like journal articles are able to cite other articles).

### **7.4.1. Assign Dataset Identifiers**

In 2013, the NOAA National Data Centers and the Data Management Architect began a project to assign persistent, resolvable identifiers to archival datasets. These Digital Object Identifiers (DOIs) provide recognition for data producers, enable datasets to be cited in journal articles and other documents, and enable references to source data in the metadata for derived data products and numerical models. DOIs are linked to "landing pages" which provide attribution for the dataset and links to access data and metadata. NOAA National Data Centers are the only entities authorized to issue NOAA dataset identifiers. The principal requirements for receiving a DOI are that (1) the data have been approved for long-term preservation and (2) sufficient metadata are provided to enable automated creation of the landing page. The DMA funds the cost of the annual DOI license on behalf of NOAA through the TPIO program. NOAA will continue the process of assigning identifiers to datasets.

In addition, the NOAA Central Library has assigned several DOIs to NOAA documents with the goal of developing a program of DOI management for NOAA publications and reports. The Library will include these DOIs in the bibliographic metadata for each document, as well as DOIs for related data sets, as appropriate. NOAA data centers could cite DOIs for related documents as well.

*Responsible: NOAA National Data Centers, DMA*

*PARR requirement: 4.h*

### **7.4.2. Issue Data Citation Procedural Directive**

The NOAA EDMC will issue a *Data Citation Procedural Directive*<sup>26</sup> in early 2015 which will describe the process and requirements for obtaining a NOAA DOI and will provide guidelines for citing data using the identifier. The directive will require that NOAA researchers cite NOAA and non-NOAA data used in their research and publications, and will request that non-NOAA researchers cite NOAA data. The directive will also discuss technical considerations regarding assignment of DOIs.

*Responsible: EDMC*

*PARR requirement: 4.h*

### **7.4.3. Develop Recommendation for Researcher Identifiers**

NOAA will inform individual researchers of the opportunity to sign up for a unique researcher identifier. Such IDs serve to resolve ambiguity when several scientists have the same name or there are multiple variants of a particular scientist's name. These IDs also assist in measuring the impact of an individual's research. Options to be considered include ORCID<sup>27</sup> and ResearcherID.<sup>28</sup> NOAA Library staff will assist NOAA researchers in obtaining their personal digital identifiers if they so desire.

*Responsible: NOAA Central Library*

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<sup>26</sup>Users with noaa.gov email addresses may view the draft at <http://goo.gl/ENkck>

<sup>27</sup><http://orcid.org/>

<sup>28</sup><http://www.researcherid.com/>



## 8. Metrics and Enforcement

### 8.1. Metrics

Several metrics will be established and publicly reported at least annually to gauge progress on the activities in this plan. The emphasis is on metrics that can be gathered in an automated fashion through software or integrated into existing NOAA business processes or evaluation structures (e.g., Balanced Scorecard, Progress to Plan). Planned metrics, and the responsible parties for compiling them, are listed below (those marked with \* can be readily automated, others currently require manual assessment):

#### EDMC:

- Number of dataset identifiers issued\*
- Data citation metrics, as gathered externally by DataCite.org\*
- Metrics on the frequency of access or usage of archived data\*
- Percentage of NOAA Observing Systems of Record that have a DM Plan, provide data access points, and submit data for archiving.

#### NOAA Library:

- Number of intramural and extramural manuscripts (with at least partial NOAA funding) made available to the public\*
- Number of times intramural and extramural manuscripts are downloaded annually\*
- Number of intramural and extramural publications and citations to these publications on an annual basis, as reported in Thomson Reuters Web of Science Citation Index\*

#### Grants Management Division:

- Percentage of grant proposals including a Data Sharing Plan
- Percentage of funded data-producing grants that made data accessible
- Percentage of funded data-producing grants that submitted final manuscripts to NOAA Institutional Repository.

(\*metric can be automatically computed)

### 8.2. Enforcement

For NOAA research results produced internally or via contracts, enforcement of the provisions of the Plan shall be the responsibility of NOAA Programs for the research results they produce or fund. Performance Plans of relevant Program Managers, or their designees, shall be revised as necessary to explicitly assign responsibility and to enable enforcement as part of annual performance reviews.

For research results funded by one NOAA operating unit but produced by another unit (such that there is not direct supervisory control by the funder), the Program Manager (or designee) of the unit providing the funding shall be responsible for collecting metrics on compliance with data accessibility and final manuscript submission by funding recipients, and for determining whether investigators who do not comply shall be prohibited from future funding or otherwise sanctioned.

For extramural grant-funded research results, the Grants Management Division shall be responsible for collecting metrics on grantee compliance and determining whether investigators that do not comply shall be prohibited from receiving future funding or otherwise sanctioned.

*Responsible: Program managers for enforcement, GMD and various parties for individual metrics  
PARR requirement: 2.e*

## **9. Public Consultation and Public/Private Partnerships**

### **9.1. Public Consultation**

Stakeholders in this plan include libraries, publishers, federally-funded researchers, cooperative institutes, and universities, users of Federally-funded research results, and civil society groups. Some stakeholder engagement occurred during development of this Plan. In particular, NOAA participated in the Public Comment Meeting concerning Public Access to Federally Supported R&D Publications and Federally Supported R&D Data held 2013 May 14-17 at the National Academy of Sciences. The public comment meetings confirmed that the activities envisioned in the NOAA PARR Plan were in excellent alignment with public desires for digital data repositories such as the NOAA National Data Centers and with the ability to cite data in publications as described above. Also, NOAA met with journal publisher representatives on 2013 June 6. This meeting indicated the potential of CHORUS as a mechanism for providing public access to journal articles, which is one of the alternatives discussed in this Plan. However, NOAA has not yet been authorized to make this Plan public, and has therefore not been able to broadly solicit comments from external stakeholders.

NOAA user engagement and feedback already occurs at the National Data Centers through customer service and user engagement specialists, and also within scientific organizations such as the Center for Satellite Applications and Research (STAR), Office of Satellite and Product Operations (OSPO), and others.

### **9.2. Public/Private Partnerships**

Because it is important that federal engagement with external stakeholders be coherent and effective, NOAA does not envision establishing new, NOAA-specific partnerships for PARR. Instead, NOAA will participate in existing multi-agency public-private partnerships and stakeholder engagement activities of relevance to PARR.

In particular, as discussed elsewhere in this Plan, NOAA will encourage participation in the Clearinghouse for the Open Research of the United States (CHORUS)<sup>7</sup> by journal publishers as a method for providing access to final publications (with NOAA Institutional Repository providing access and archiving for pre-publication manuscripts). NOAA will also encourage extramural researchers to make data and manuscripts available through the universities' Shared Access Research Ecosystem (SHARE).<sup>8</sup> NOAA will also foster public-private partnerships with scientific journals relevant to NOAA's research by (1) using a DOI to point from the pre-publication manuscript in the NOAA Repository to the published version of record located on publishers' web sites, and (2) assigning DOIs to NOAA archival datasets (as described in Section 7.4) to allow research articles to link back to the data upon which they are based.

NOAA has previously issued a Policy on Partnerships in the Provision of Environmental Information<sup>29</sup> focusing especially on weather and climate data which states, among other provisos, that NOAA will

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<sup>29</sup><http://www.noaa.gov/partnershippolicy/>

"avoid duplication and competition in areas not related to the NOAA mission." The NOAA Deepwater Horizon Repository effort involved a public-private partnership between NOAA, NTIS, and a private entity.

*Responsible: Various, depending on nature of partnership or consultation*

*PARR Requirement: 2.a, 3.d, 3.d.iii, 3.d.iv*

### **9.3. Research Data Commons**

NOAA, in collaboration with other Departments and Agencies, will encourage the development or sustainment of a "Research Data Commons," a shared space for research output including data, software, and narrative associated with NOAA-funded extramural research. Such a Commons will adhere to the FAIR principles: Find, Access, Interoperate, and Reuse. The goal will be to make extramural digital research data accessible to the public in a manner that optimizes search, archival, and dissemination features that encourage innovation in accessibility and interoperability, while ensuring long-term stewardship of research data results. A particular focus of the effort will be on making the data underlying the conclusions of peer-reviewed scientific publications resulting from federally funded scientific research available for free at the time of publication. An example of an existing effort toward establishing a research commons is SHARE<sup>8</sup> mentioned previously.

Regarding intramural data, NOAA does not intend to establish a new common storage location for its vast data holdings. However, our efforts to make all data available via compatible services and formats to maximize interoperability in effect enable a "virtual commons" for data. Furthermore, the NOAA Big Data Partnership will start pilot project(s) in 2015 to copy a subset of datasets to commercial Cloud alongside computation resources, to enable the creation of value-added products and services by the private sector.

## **10. Interagency Coordination**

NOAA will leverage existing work as much as possible. We will identify and adopt existing activities inside the agency, relevant standards, common approaches, inter-agency mechanisms, or government-wide agreements. The Institutional Repository will be established in cooperation with CDC (see §7.2.1). Areas of possible standardization or software reuse, especially for geospatial data, include data access services and catalog services. If absence of existing work in some area requires NOAA to do new development, NOAA will inform other agencies of that work in order that they may leverage it as appropriate.

NOAA has long coordinated with the Federal Geographic Data Committee (FGDC) on data issues. Since 2013, interagency coordination on standards for Earth observation data has been through the US Group on Earth Observations (USGEO) Data Management Working Group (DMWG), which NOAA co-chairs. At the international level, the World Meteorological Organization (WMO), the World Climate Research Program (WCRP), and others provide coordination bodies for exchange of weather observations and model outputs.

NOAA has already coordinated on an informal basis with other agencies on topics discussed in this plan. NOAA met with representatives of the DOE Public Access Gateway for Energy and Science prototype on 2013 June 12 to discuss publication repository concepts. NASA, USGS, EPA, and USDA all have

substantial geospatial data holdings, and informal discussions of standards and technologies have taken place in forums including the Open Geospatial Consortium (OGC) Technical Committee, Earth Science Information Partners (ESIP) Federation meetings, American Geophysical Union (AGU) conferences, and the annual NOAA Environmental Data Management Workshop.

*Responsible: NOAA Central Library, EDMC, and others*

*PARR Requirement: 2.c, 3.d.ii*

## **11. Public Notice and Legal Reviews**

No rule-making or related public notices are envisioned at this time.

The NOAA Office of General Counsel and the Department of Commerce Office of General Counsel will be engaged to provide input on the implementation of the plan, including the development, review and approval of language for extramural funding documents; issues related to limited-access data, copyright and license agreements; and the interface of this plan with other legal authorities affecting data management and public access to information.

*Responsible: NOAA and DOC Offices of General Counsel*

*PARR Requirement: 2.d, 2.e*

## **12. Plan Update and Reevaluation**

This plan will be reevaluated and updated by the NOAA Research Council as necessary.

*Responsible: NOAA Research Council*

*PARR requirement: 5*

## **13. Timeline for Implementation**

NOAA intends to have intramural publications and data comply first, followed by extramural results. This will enable NOAA to test new requirements and processes internally before imposing them externally. The OSTP memo is not retrospective. New policies or policy changes established by the NOAA PARR Plan shall apply only to environmental data generated or manuscripts submitted after the publication date of the respective policies. Once the plans take effect, agencies shall report twice yearly (January 1 and July 1) to OSTP and OMB.

- 2013 Feb 22: OSTP PARR Memorandum issued
- 2013 Aug 22: Draft NOAA plan submitted to OSTP
- 2014 Mar 05: OSTP comments provided on draft NOAA plan
- 2014 Jul: Revised NOAA plan submitted to OSTP
- FY 2015:
  - Q1: Revised Data Management Planning directive issued (§7.3.1)
  - Q2: New Data Access directive issued (§7.3.4), including waiver to be filed for limited-access data (§7.3.8).
  - Q2: New Data Citation directive issued (§7.4.2)
  - Q2: Publications Policy written (§7.2.2)
  - Q3: Publications Policy issued by Research Council

- Q4: Data Sharing by Grantees directive revised and reviewed (including all changes described in §7.1.1)
- Q4: NOAA Institutional Repository established (§7.2.1)
- FY 2016:
  - Q1: New provisions in sections 7.3.1 (DM Planning) and 7.3.4 (Data Access) take effect for intramural data
  - Q1: New provisions in §7.2.2 for intramural publications take effect.
  - Q2: New provisions related to extramural data (§7.1.1) and publications (§7.2.1) take effect.

NOTE: Some activities are already in progress or may begin earlier than the dates shown here. In particular:

- EDMC and DMA are leading activities to make NOAA data more discoverable, accessible, usable, citable, and preserved.
- NOAA Library has a list of most of NOAA's intramural peer-reviewed publications for FY 2012 (1,805 publications) and FY 2013 (1,918 publications) and is currently tracking FY 2014 as part of a project funded by the Line Offices and overseen by the Research Council. NOAA Library maintains an online list of publications and has the DOIs for all the publications that have DOIs. People can find the published articles on publisher Web pages. However, the complete publication may be behind a paywall.

*Responsible: NOAA Research Council*  
*PARR requirement: 2.g*

## 14. Resources

The OSTP memo on public access to research results calls for "identification of resources within the existing agency budget to implement the plan." Both budget and personnel (FTE) resources will be needed to fully implement the NOAA PARR Plan. Fortunately, NOAA already has a strong tradition and infrastructure for making data publicly accessible, so some of the tasks in this plan are already underway.

NOAA Programs that produce data or perform research shall, within their own budgets, allocate resources for data access and archiving, or shall explicitly discuss why access and archiving cannot be accomplished within existing resources and estimate needed resources, or shall justify why access or archiving are not warranted for a particular dataset. To reduce costs, programs shall make use of standard formats and services, reusable software, and consolidated or enterprise-wide services and licenses to the greatest extent possible. The ability to preserve additional quantities of data will be provided through existing modernization activities at the Data Centers, notably the establishment of the Common Submission Interface by the Comprehensive Large Array Stewardship System (CLASS) project.

NOAA Programs that issue grants shall consider how to satisfy the grantee requirements in this plan as cost-effectively as possible, and shall document instances in which lack of resources prevented access or archiving of data that would otherwise have been desired, and shall document instances in which access or archiving were deemed not to be warranted for particular grant opportunities.

Additional resources will likely be necessary to establish and maintain the NOAA Institutional Repository for manuscripts. The resources to support the Repository will come from a combination of funds from the Line Offices and a small assessment of the grant programs.

*Responsible: NOAA Programs*

*PARR Requirement: 2.f*

## **15. Risks**

There are several risks that may hinder execution of this plan:

- Lack of identified resources in existing program budgets for data access or archiving.
- Inability of NOAA Data Centers to archive all extramural data for lack of budget, personnel, or storage, and difficulty of assessing which should be archived.
- Lack of personnel to develop and enforce policies.
- Lack of automated mechanisms to confirm compliance by grantees and withhold funding. In the absence of automation, manual verification will be used.

In addition, there are policies that may hinder data availability, especially NMFS data:

- Section 302 of the National Historic Preservation Act (Underwater Cultural Heritage Sites)
- NAO 216-100 - Confidentiality Policy
- Magnuson-Stevens Fishery Conservation and Management Act
- National security policies

*Responsible: NOAA Research Council, NMFS for conflicting policies*

*PARR Requirement: 2.h*

## Appendix A: Acronyms

AGO	Acquisition and Grants Office
AGU	American Geophysical Union
CHORUS	Clearinghouse for the Open Research of the United States
CIO	Chief Information Officer
DM	Data Management
DMA	Data Management Architect
DMIT	NOAA Data Management Integration Team
DMWG	USGEO Data Management Working Group
DOC	Department of Commerce
DOE	Department of Energy
DOI	Digital Object Identifier
EDM	Environmental Data Management
EDMC	NOAA Environmental Data Management Committee
EPA	Environmental Protection Agency
ESIP	Earth Science Information Partners
FY	Fiscal Year
ISO	International Organization for Standardization
IT	Information Technology
NAO	NOAA Administrative Order
NASA	National Aeronautics and Space Administration
NCDC	National Climatic Data Center
NCDDC	National Coastal Data Development Center
NESDIS	National Environmental Satellite, Data, and Information Service
NGDC	National Geophysical Data Center
NGSP	Next Generation Strategic Plan
NMFS	National Marine Fisheries Service
NOAA	National Oceanic and Atmospheric Administration
NODC	National Oceanographic Data Center
NOS	National Ocean Service
NRC	NOAA Research Council
NSF	National Science Foundation
NTIS	National Technical Information Service
NWS	National Weather Service
OAR	Office of Oceanic and Atmospheric Research
OGC	Open Geospatial Consortium
OMAO	Office of Marine and Aviation Operations
OMB	Office of Management and Budget
ORCID	Open Researcher and Contributor Identification

OSPO	Office of Satellite and Product Operations
OSTP	Office of Science and Technology Policy
PARR	Public Access to Research Results
PD	Procedural Directive
QA/QC	Quality Assurance/Quality Control
R&D	Research and Development
SHARE	SHared Access Research Ecosystem
STAR	Center for Satellite Applications and Research
TPIO	Technology, Planning, and Integration for Observations
US	United States
USC	United States Code
USDA	United States Department of Agriculture
USGEO	United States Group on Earth Observations
USGS	United States Geological Survey
WCRP	World Climate Research Program
WMO	World Meteorological Organization