US Government PID Guidance and DOE PID Implementation

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May 22, 2024
CHORUS Forum

U.S. DEPARTMENT OF ENERGY | Office of Science | Office of Scientific and Technical Information

PID Policy Memos – NSPM-33

January 14, 2021: Memo directs action to strengthen protections of United States Government-supported Research and Development (R&D) against foreign government interference and exploitation.


PRESIDENTIAL MEMORANDA

Presidential Memorandum on United States Government–Supported Research and Development National Security Policy

NATIONAL SECURITY & DEFENSE | Issued on: January 14, 2021

- *(v) Consistent with applicable Federal laws and statutory authorities, within 1 year of the date of this memorandum, funding agencies shall establish policies regarding requirements for individual researchers supported by or working on any Federal research grant to be registered with a service that provides a digital persistent identifier for that individual.*

- *(vi) Agencies shall standardize disclosure processes, definitions, and forms across funding agencies to the extent practicable… Where appropriate and consistent with applicable Federal laws and regulation, agencies should standardize forms for initial disclosures as well as annual updates, integrating digital persistent identifiers wherever appropriate and practicable, and should provide clear instructions to accompany these forms and to minimize any associated administrative burden.*

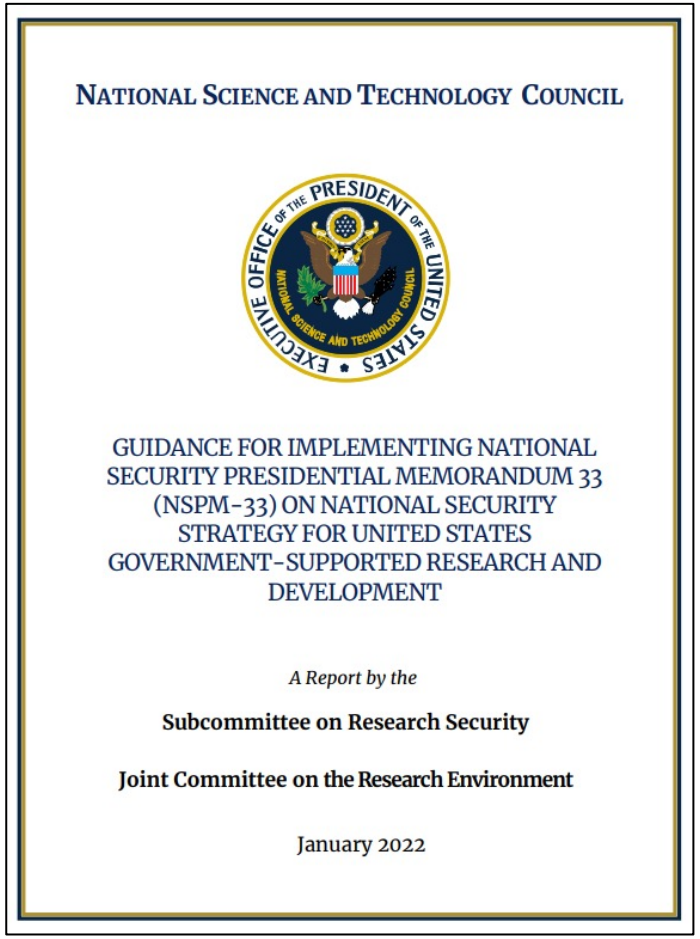
https://trumpwhitehouse.archives.gov/presidential-actions/presidential-memorandum-united-states-government-supported-research-development-national-security-policy/

PID Policy Memos – NSPM-33 Implementation Guidance

January 2022: Guidance provides recommendations for incorporation of digital persistent identifiers (DPIs) – also known as Persistent Identifiers (PIDs) – into disclosure processes to bolster research security and integrity while reducing administrative burden.

PID Definition: A digital identifier that is globally unique, persistent, machine resolvable and processable, and has an associated metadata schema.

1. Incorporation of PIDs into grant and cooperative agreement application and disclosure processes
2. Requiring PIDs versus providing as an option for disclosures
3. Categories of individuals provided a PID option for disclosures
4. Use of available PID services
5. Common/core standards that a PID service should meet to be included as an option for disclosure in Federal grant and cooperative agreement application processes
6. Ensuring interoperability across multiple options for PID service
7. Potential for public disclosure of information provided to research agencies via a PID service



NATIONAL SCIENCE AND TECHNOLOGY COUNCIL

GUIDANCE FOR IMPLEMENTING NATIONAL SECURITY PRESIDENTIAL MEMORANDUM 33 (NSPM-33) ON NATIONAL SECURITY STRATEGY FOR UNITED STATES GOVERNMENT-SUPPORTED RESEARCH AND DEVELOPMENT

A Report by the

Subcommittee on Research Security

Joint Committee on the Research Environment

January 2022

https://www.whitehouse.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf

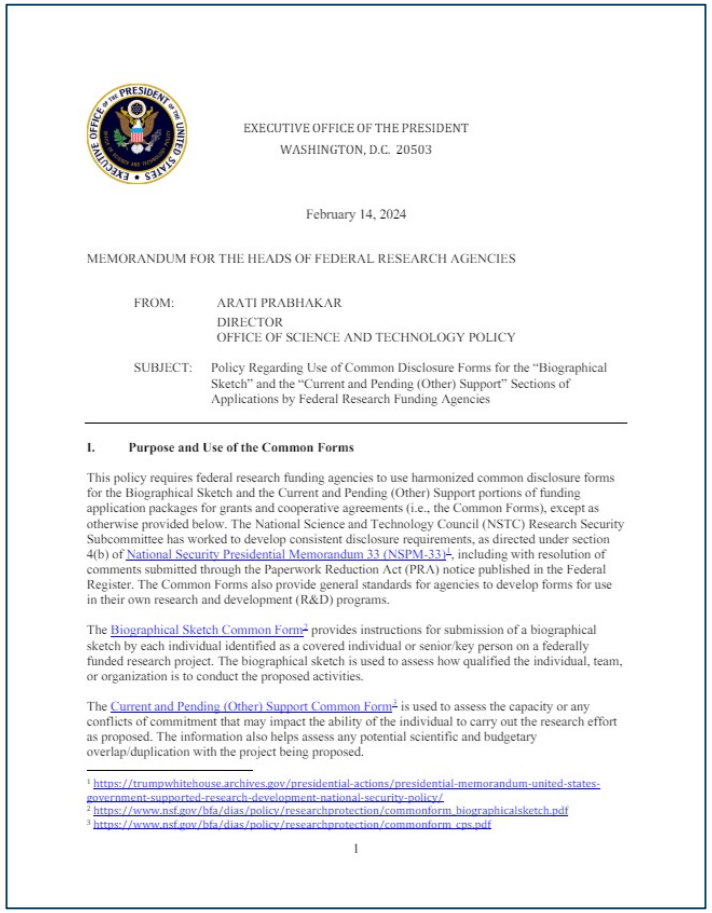
PID Policy Memos – Common Form Disclosure Form Policy

February 14, 2024: This policy requires federal research funding agencies to use harmonized common disclosure forms for the Biographical Sketch and the Current and Pending (Other) Support portions of funding application packages for grants and cooperative agreements (i.e., the Common Forms).

II. Federal Research Funding Agency Implementation

To implement the use of Common Forms, each federal research funding agency, defined in the January 2022 NSPM-33 Implementation Guidance as any federal department or agency with an annual extramural research expenditure of over $100,000,000, will be required to submit an implementation plan to the Office of Science and Technology Policy (OSTP) within 90 days following the issuance of this policy.

Federal research funding agencies should ensure that applicants using the Common Forms include a persistent digital identifier that meets the requirements articulated in both the 2022 NSTC NSPM-33 Implementation Guidance and the 2022 OSTP Public Access Policy Guidance.



EXECUTIVE OFFICE OF THE PRESIDENT
WASHINGTON, D.C. 20503

February 14, 2024

MEMORANDUM FOR THE HEADS OF FEDERAL RESEARCH AGENCIES

FROM: ARATI PRABHAKAR
DIRECTOR
OFFICE OF SCIENCE AND TECHNOLOGY POLICY

SUBJECT: Policy Regarding Use of Common Disclosure Forms for the "Biographical Sketch" and the "Current and Pending (Other) Support" Sections of Applications by Federal Research Funding Agencies

I. Purpose and Use of the Common Forms

This policy requires federal research funding agencies to use harmonized common disclosure forms for the Biographical Sketch and the Current and Pending (Other) Support portions of funding application packages for grants and cooperative agreements (i.e., the Common Forms), except as otherwise provided below. The National Science and Technology Council (NSTC) Research Security Subcommittee has worked to develop consistent disclosure requirements, as directed under section 4(b) of National Security Presidential Memorandum 33 (NSPM-33)[1], including with resolution of comments submitted through the Paperwork Reduction Act (PRA) notice published in the Federal Register. The Common Forms also provide general standards for agencies to develop forms for use in their own research and development (R&D) programs.

The Biographical Sketch Common Form[2] provides instructions for submission of a biographical sketch by each individual identified as a covered individual or senior/key person on a federally funded research project. The biographical sketch is used to assess how qualified the individual, team, or organization is to conduct the proposed activities.

The Current and Pending (Other) Support Common Form[3] is used to assess the capacity or any conflicts of commitment that may impact the ability of the individual to carry out the research effort as proposed. The information also helps assess any potential scientific and budgetary overlap/duplication with the project being proposed.

[1] https://trumpwhitehouse.archives.gov/presidential-actions/presidential-memorandum-united-states-government-supported-research-development-national-security-policy/
[2] https://www.nsf.gov/bfa/dias/policy/researchprotection/commonform_biographicalsketch.pdf
[3] https://www.nsf.gov/bfa/dias/policy/researchprotection/commonform_cps.pdf

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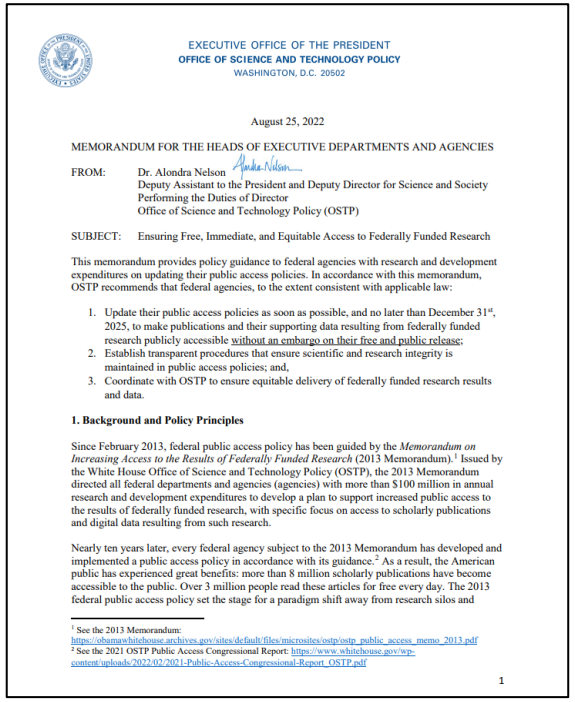
https://www.whitehouse.gov/wp-content/uploads/2024/02/OSTP-Common-Disclosure-Form-Policy.pdf

PID Policy Memos – OSTP Public Access Memo

August 25, 2022: Memo provides policy guidance to federal agencies with research and development expenditures on updating their public access policies. Builds off 2013 OSTP Memo – *Increasing Access to the Results of Federally Funded Scientific Research*.



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20502

August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Dr. Alondra Nelson
Deputy Assistant to the President and Deputy Director for Science and Society
Performing the Duties of Director
Office of Science and Technology Policy (OSTP)

SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

This memorandum provides policy guidance to federal agencies with research and development expenditures on updating their public access policies. In accordance with this memorandum, OSTP recommends that federal agencies, to the extent consistent with applicable law:

1. Update their public access policies as soon as possible, and no later than December 31st, 2025, to make publications and their supporting data resulting from federally funded research publicly accessible without an embargo on their free and public release;
2. Establish transparent procedures that ensure scientific and research integrity is maintained in public access policies; and,
3. Coordinate with OSTP to ensure equitable delivery of federally funded research results and data.

1. Background and Policy Principles

Since February 2013, federal public access policy has been guided by the *Memorandum on Increasing Access to the Results of Federally Funded Research* (2013 Memorandum).[1] Issued by the White House Office of Science and Technology Policy (OSTP), the 2013 Memorandum directed all federal departments and agencies (agencies) with more than $100 million in annual research and development expenditures to develop a plan to support increased public access to the results of federally funded research, with specific focus on access to scholarly publications and digital data resulting from such research.

Nearly ten years later, every federal agency subject to the 2013 Memorandum has developed and implemented a public access policy in accordance with its guidance.[2] As a result, the American public has experienced great benefits: more than 8 million scholarly publications have become accessible to the public. Over 3 million people read these articles for free every day. The 2013 federal public access policy set the stage for a paradigm shift away from research silos and

[1] See the 2013 Memorandum: https://obamawhitehouse.archives.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf
[2] See the 2021 OSTP Public Access Congressional Report: https://www.whitehouse.gov/wp-content/uploads/2022/02/2021-Public-Access-Congressional-Report_OSTP.pdf

1

a) Collect and make publicly available appropriate metadata associated with scholarly publications and data resulting from federally funded research, to the extent possible at the time of deposit in a public access repository. Such metadata should include at minimum:

- *i. all author and co-author names, affiliations, and sources of funding, referencing digital persistent identifiers, as appropriate;*
- *ii. ii) the date of publication; and,*
- *iii. a unique digital persistent identifier for the research output;*

b) Instruct federally funded researchers to obtain a digital persistent identifier that meets the common/core standards of a digital persistent identifier service defined in the NSPM-33 Implementation Guidance, include it in published research outputs when available, and provide federal agencies with the metadata associated with all published research outputs they produce, consistent with the law, privacy, and security considerations.

c) Assign unique digital persistent identifiers to all scientific research and development awards and intramural research protocols that have appropriate metadata linking the funding agency and their awardees through their digital persistent identifiers.

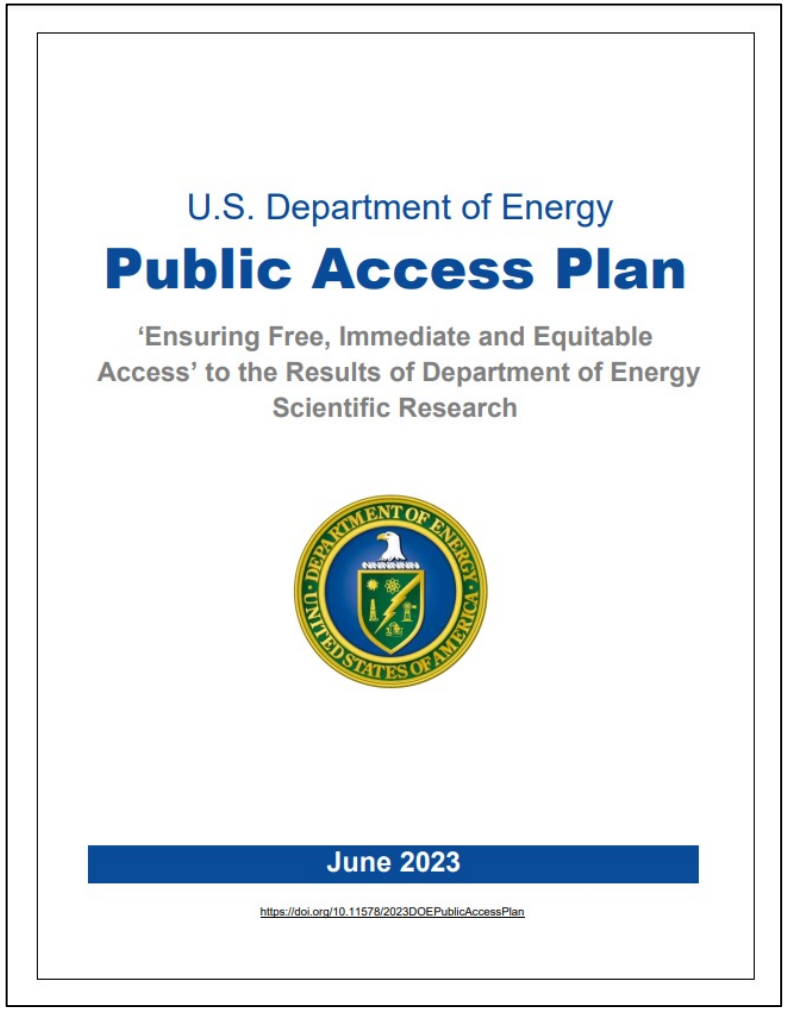
https://www.whitehouse.gov/wp-content/uploads/2022/08/08-2022-OSTP-Public-Access-Memo.pdf

PID Policy Memos – DOE Public Access Plan

- In the process on developing implementation plans and policies
- Addresses PID expectations for R&D outputs, people, and organizations
- PIDs for awards will be addressed in the future

Sections include:

- *Scope and Applicability*
- *Requirements*
- *Roles and Responsibilities*
- *Planning and Implementation*
- *Metrics, Compliance, and Evaluation*
- *Community Engagement*
- *Public Notice*
- *Timeline for Implementation*
- *Resources*



https://www.energy.gov/doe-public-access-plan

DOE Office of Scientific and Technical Information (OSTI)

U.S. DEPARTMENT OF
ENERGY

~$15B in R&D Funding Annually

NATIONAL LABS

Ames
Argonne
Brookhaven
Fermi
Idaho
Los Alamos
Lawrence Berkeley
Lawrence Livermore
NETL
NREL
Oak Ridge
Pacific Northwest
Princeton
SLAC
Sandia
Savannah River
Thomas Jefferson

GRANTEES
TECHNOLOGY CENTERS
SITES

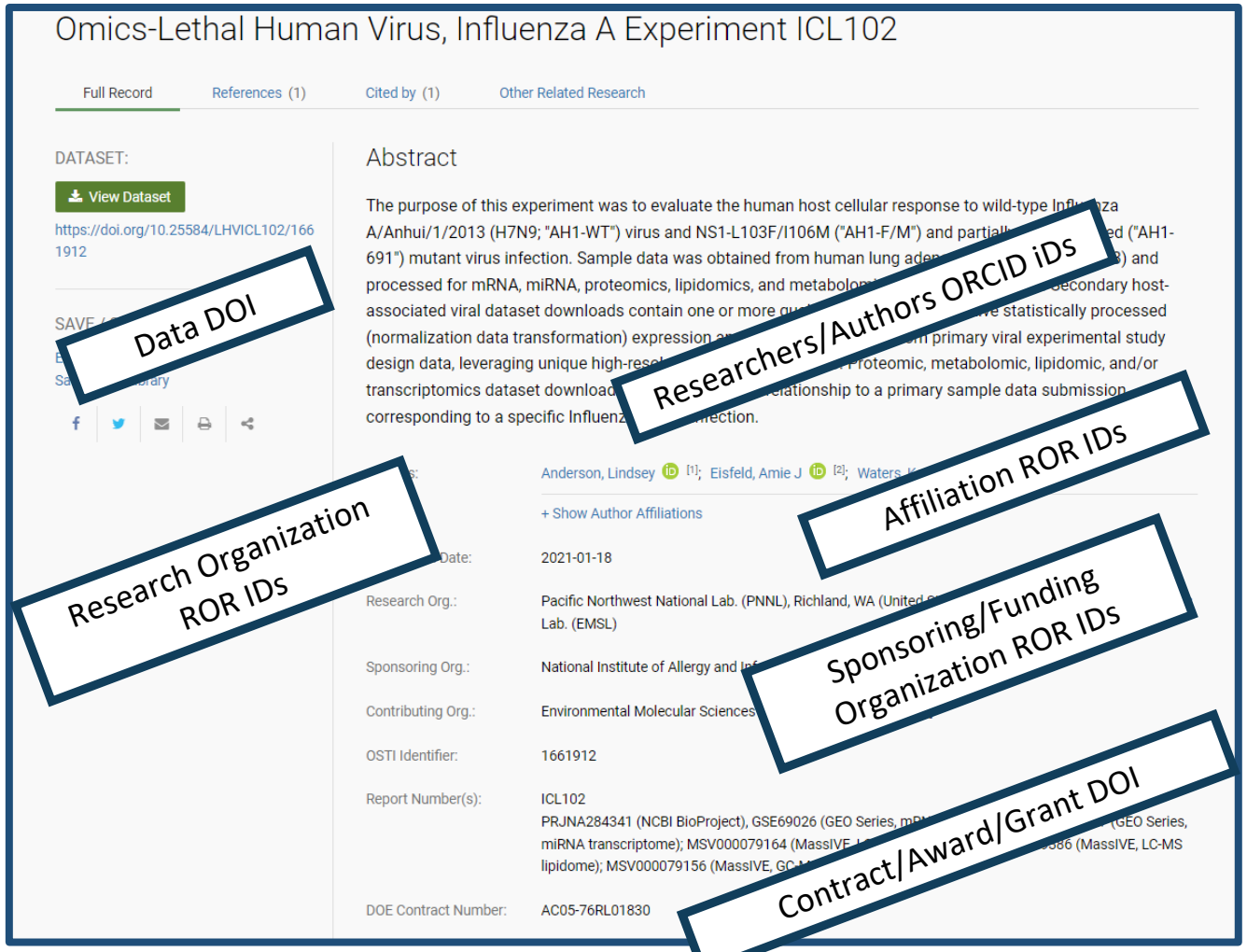
SCIENTIFIC & TECHNICAL INFORMATION (STI)

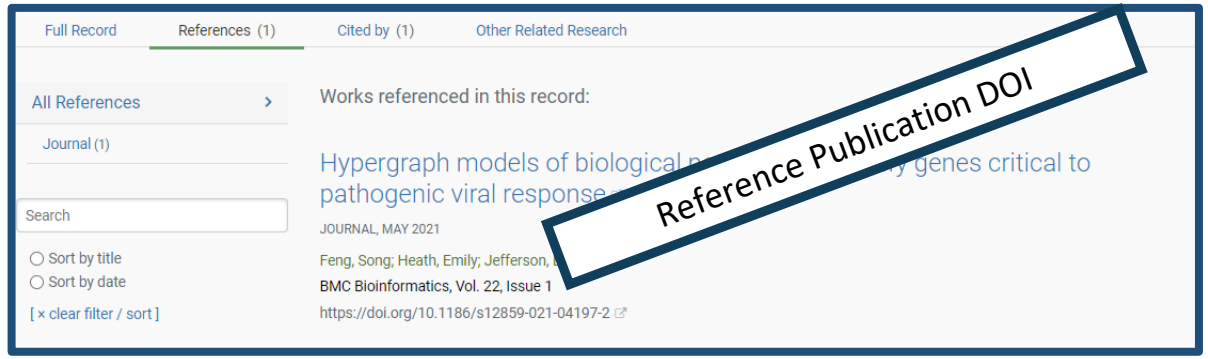
- Journal articles/accepted manuscripts
- Technical reports
- Conference papers
- Theses/dissertations
- Scientific and technical software
- Datasets
- Patents
- Workshop reports
- Videos

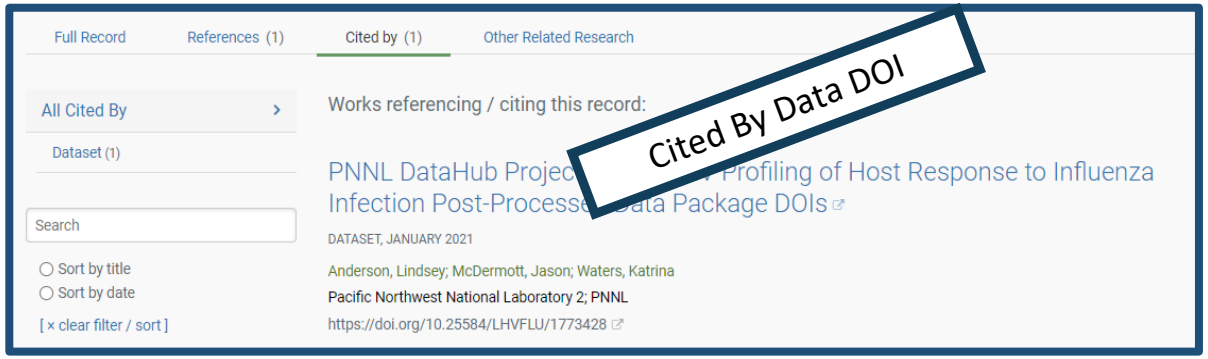
≈ 50,000 STI "products" per year

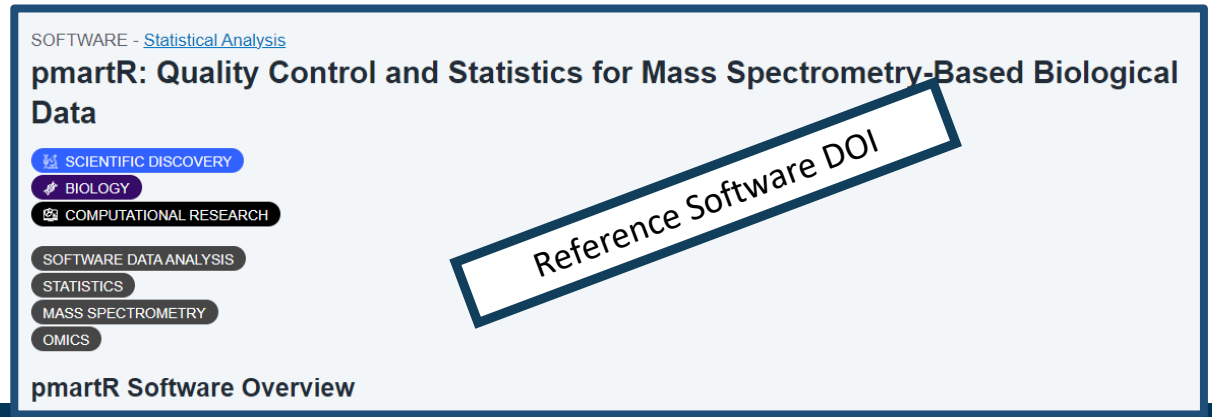
OSTI's role with DOE is to collect, preserve, and make accessible DOE-funded R&D outputs.

Connecting PIDs in R&D Output Metadata









OSTI PID Services

PIDs for R&D Outputs

Reports, Posters, Presentations

E∞Link

Data

Data ID Services

Software

DOE CODE

Crossref

DataCite

PIDs for People

US Government ORCID Consortium

OSTI.GOV

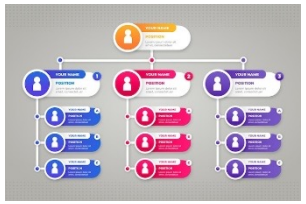
ORCID

PIDs for Awards

Award DOI Service

Crossref

PIDs for Organizations



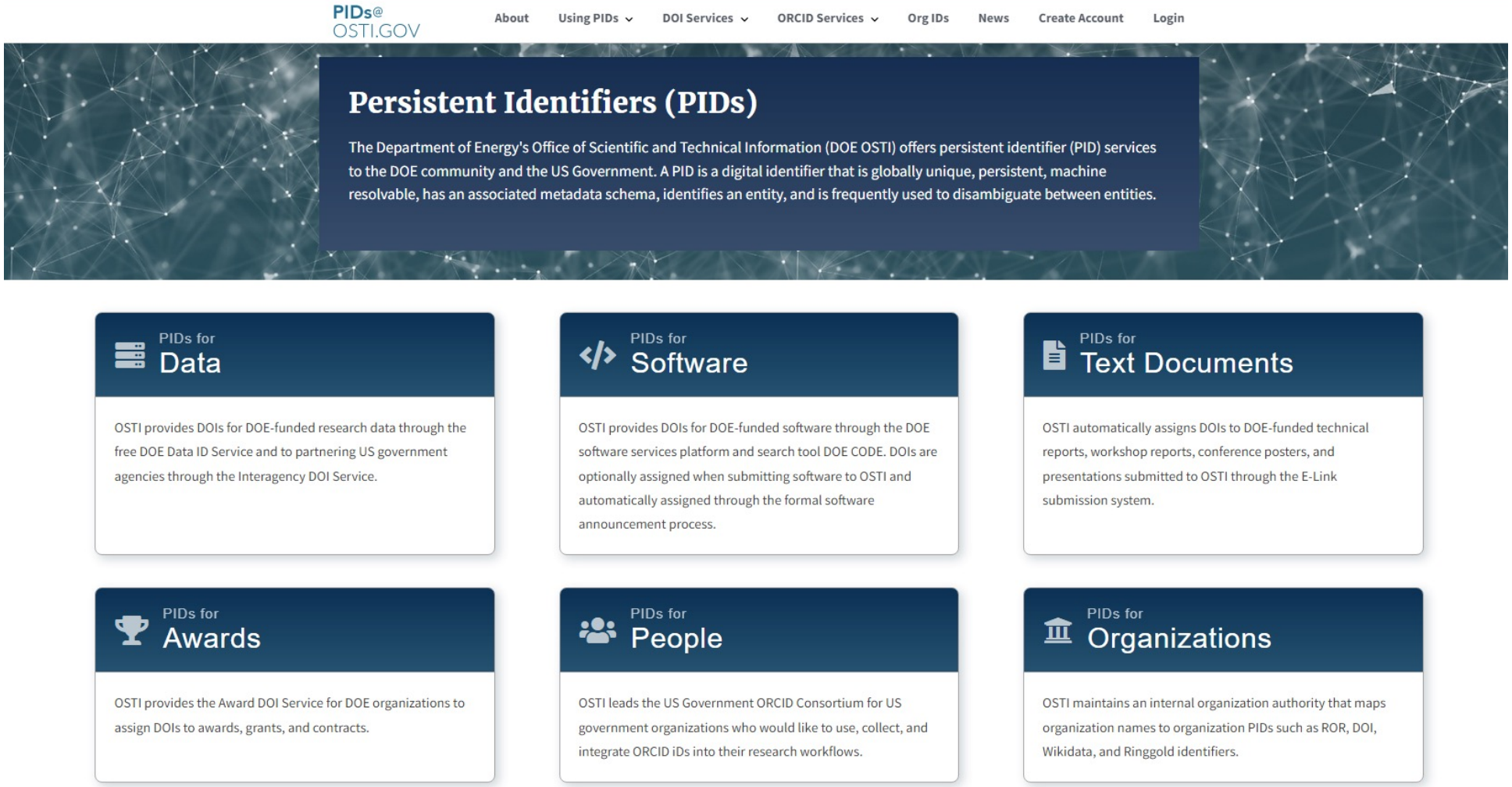
OSTI Org Authority

Funder Registry

ROR

Crossref

PIDs@OSTI.GOV



https://www.osti.gov/pids/

Thank you!

Discussion Question: How can the metadata being curated and enhanced by other organizations make its way to the PID owners to be captured within the metadata?