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## Public Access Overview

A 2013 Office of Science and Technology (OSTP) Public Access Memo required all federal agencies with more than \$100M in annual research and development expenditures, to support increased public access to research results funded by the federal government. This includes results published in peer-reviewed scholarly publications, and the digitally formatted scientific data arising from unclassified unlimited research. The Memo also requires a Data Management Plan to be created at the beginning of every research project.

DoD-funded research is covered by this requirement. DoD implemented PubDefense as a separate search system for public peer-reviewed journal articles. Journal articles documenting DoD-funded research need to be submitted to DTIC.

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### What are the benefits of Public Access to DoD?

- Increased access to government-wide scholarly publications and scientific data;
- Cost savings to DoD organizations (no need to buy back DoD-funded content);
- Increased visibility to industry of DoD research priorities;

DoD's Public Access Plan is available at

[https://discover.dtic.mil/wp-content/uploads/2018/06/dod\\_public\\_access\\_plan\\_feb2015.pdf](https://discover.dtic.mil/wp-content/uploads/2018/06/dod_public_access_plan_feb2015.pdf)

If you have any questions please contact the [Public Access Team](#).

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## PubDefense Overview

PubDefense is DoD's discovery tool that makes peer-reviewed scholarly publications and their associated public data available to read, download, and analyze at no charge to users. The simple search allows text search across all fields and full text of the articles. Advanced search allows search by fields and users can select to only search documents that have associated public data.

PubDefense contains all the records that publishers have recorded in CrossRef as being DoD-funded. As DTIC receives final peer-reviewed manuscripts from authors, they are also included in PubDefense, viewable after the OSTP-mandated 12-month embargo. DTIC future plans include also sending journal articles submitted to DTIC's technical report database to PubDefense.

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### Does PubDefense provide the full text for its content?

Full-text access occurs within 12 months of publication. Access will be provided earlier in cases when the publisher makes a full-text version available for free earlier, such as for open access journal articles. PubDefense points to the publishers' version of the journal article through its Digital Object Identifier (DOI). Journal articles (either author's manuscripts or the published version) are available immediately in DTIC's controlled access sites.

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## What does "embargo" refer to? How can I access an article still under the "embargo"?

DoD, under the OSTP mandate for public access, like other federal agencies, has implemented an embargo or "administrative interval" for public access, up to 12 months from the date of publication for journal articles. Individual journals may institute shorter periods, and PubDefense will provide free access earlier than 12 months in those cases.

If you or your institution have a subscription to the journal in which the article was published, you will have access to the article during the embargo and can access the article in PubDefense by going to the Publisher's Version link on the article metadata pages. If you do not have a subscription, other access options include article purchase or rental, library access, and contacting the author for scholarly purposes. If DTIC has received the full text author's final manuscript or published version, it will be available on DTIC's controlled sites during the embargo period.

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## What is a final peer-reviewed manuscript?

A final peer-reviewed manuscript is defined as the version of the article that has been accepted for publication and includes all modifications resulting from the peer-review process. It is the same content as the published version but does not include the publisher's copyediting, stylistic or formatting edits that will constitute the final version that appears in a scholarly journal.

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## What is the difference between a final peer-reviewed, refereed manuscript and a published article?

- Final peer-reviewed, refereed manuscript (author's final manuscript): The author's final manuscript of a peer-reviewed paper accepted for journal publication, including all modifications from the peer review process.
- Final published article (publisher's version): The journal's authoritative copy, including all modifications from the publishing peer review process, copy and stylistic edits, and formatting changes.

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## Submission of Journal Articles to DTIC

**I'm a researcher who works for a DoD agency or a university researcher with DoD funding. My manuscript was accepted for publication in a peer-reviewed journal; what do I need to do to comply with DoD's public access requirements?**

- 1) Ensure that all journal articles include a funding acknowledgement when submitting to publishers.
  - DoD In-House Funding
    - Acknowledgment: "This material is based upon work supported by the [*insert the sponsoring DoD Organization*], [*Add any additional acknowledgements or*

*information requested by the sponsoring Program Office].”*

- “This material is based upon work supported by the U.S Army Corps of Engineers, Engineer Research and Development Center, Vicksburg, MS.”
  - DoD Contract or Grant:
    - Acknowledgement: “This material is based upon work supported by the [*insert the sponsoring DoD Organization*] [*Add any additional acknowledgements or information requested by the sponsoring Program Office*] under [Grant or Contract] Number(s) [Enter the award number(s)].”
      - “This material is based upon work supported by the U.S. Department of Defense, Office of Naval Research under Grant Number N00014-11-1-0665.”
      - “This material is based upon work supported by the Air Force Civil Engineer Center, under Contract Number FA4819-12-C-0001.”
  - Joint Funding:
    - Acknowledgment: “This material is based upon work supported by the [*insert the sponsoring DoD Organization*], [*Add any additional acknowledgements or information requested by the sponsoring Program Office*], and [*additional funding Organization*], [*additional acknowledgements*] under [*Contract or Award*] Number [XXXXXX ].”
      - “This material is based on work supported by the U.S. Army Research Laboratory and the Army Research Office under Grant Number W911NF-11-1-0071.”
- 2) Submit the Author’s Final Peer-Reviewed Manuscript to DTIC at time of acceptance for publication
- A final peer-reviewed manuscript is defined as the version of the article that has been accepted for publication and includes all modifications resulting from the peer-review process, which is also called the final peer-reviewed accepted manuscript. It is the same content as the published version but does not include the publisher's copyediting, stylistic or formatting edits that will constitute the final version that appears in a scholarly journal.
  - Include DOI, ORCID (if available), and journal citation metadata
  - DTIC will embargo for 12-months before posting the manuscript on our public site

If you have any questions please contact the [Public Access Team](#).

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### **How do I submit a journal article?**

Submit the Author’s Final Peer-reviewed Refereed Manuscript to DTIC at time of acceptance for publication.

- Include DOI and journal citation metadata
- DTIC will embargo for 12-months before posting the manuscript on our public site.

If you have a government CAC or PIV card, submit through [DTIC TR input submission interface](#).

If do not have a government CAA or PIV card, submit though the [Multi-Agency Submission Interface \(MASI\)](#).

Submission information for Document type and Subtype of journal article: Document Type:

- Choose “Journal Article – Open Access” if the article was published under a Creative Commons or Open Access license.
- If not, choose “Journal Article – Embargoed Full-Text”.
- Document SubType: Choose “Author Manuscript” if the version you are submitting is the final author’s peer-reviewed refereed manuscript (preferred) or “Publisher’s Version” if it is the publisher’s version.

If you have any questions please contact the [Public Access Team](#).

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### **Who should submit peer-reviewed scholarly publications to DTIC?**

All DoD and DoD-funded researchers are required to submit their final peer-reviewed manuscript to DTIC by DoDI 3200.12 and DoDM 3200.14. DoD organizations are required to ensure that all DoD research results are provided to DTIC, including extramural research from contracts and grants.

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### **Does a specific format need to be used for submission of accepted manuscripts?**

Accepted manuscripts should be submitted as a PDF (portable document format). When submitting a PDF, ensure that it is not encrypted, password protected, or corrupted. It is preferred that the PDF is compliant with one of four standards and with extractable text. The standards are PDF/A-1a, PDF/A-2a, PDF/A-3a, or PDF/UA.

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### **Where is the Regulatory requirement for submitting journal articles to DTIC?**

This list of documents explains why you need to submit all the results of your research.

- [OSTP memo](#)
- [Kendall memo](#)
- [DoDI 3200.12](#)
- [DoDM 3200.14](#)

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### **I am partially funded by DoD, but I have already submitted my manuscript to another government publication repository, do I also need to submit my article information and manuscript to DTIC?**

Yes, since DoD needs the document in order to measure compliance. You can enter the information in [MASI](#) with a DOI, which populates most of the metadata from CrossRef. DTIC

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has a project to access PMC and DOE PAGES to gain access to the full text submitted there, but the details are still being worked out.

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### **If I give DTIC the manuscript, does that mean publishers will no longer publish my journal article?**

No. Publishers are well aware of the Public Access requirements of many funders, including the federal government. DTIC is working with Publisher organizations such as CrossRef and CHORUS. DTIC points to the publishers' version of the article on their site, and will wait to make the authors' manuscript available to the public until 12 months after publication.

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### **Copyright and types of Open Access**

#### **I was told I need to submit my journal article, but doesn't the journal hold copyright?**

Works created by Government employees in their official capacity are not entitled to copyright protection in the United States. A Government employee should inform a publisher that the work was created as part of his/her official duties and should not sign any document purporting to transfer a U.S. copyright as a prerequisite to publication.

For authors other than federal employees, copyright transfer is generally a requirement by publishers for an author submitting an article for publication, so that the publishers can enforce copyright. The authors complete a Copyright Transfer Agreement prior to an article's acceptance. The wording on the forms may vary from publisher to publisher, but basic wording includes transfer of copyright to the publisher.

Contractors and grantees and other non-Government organizations generally hold copyright to works they prepare for the Government. The U.S. Government retains a nonexclusive, irrevocable, royalty-free worldwide license, which permits the Government to use, modify, reproduce, release, perform, display or distribute these works. If a contractor or grantee transfers their copyright to a publisher, the government still retains this license to the work.

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#### **What is the difference between the Federal Public Access requirements and Open Access (OA)?**

Public Access refers to the U.S. Federal initiative to ensure access to federally funded research results. A high-level goal of public access is to advance science and technological innovation by sharing research results. DoD is following the practice established by U.S. federal agencies in using the term "public access" to characterize the plans and policies that implement the objectives of the [OSTP memorandum of February 22, 2013](#).

While there are various forms of Open Access, this FAQ defines Open Access as online research outputs that are free of all restrictions on access and free of many restrictions on use

Within the topic of Open Access, there are different models such as green and gold OA.

- Green OA involves author deposit of accepted manuscripts into institutional or subject repositories.
- Gold OA typically means the author or their institution pays a fee to the publisher to enable open access.

While most federal research funding allows for the payment of gold OA fees, DoD's implementation of public access is based on the green OA model, where authors deposit accepted manuscripts into DTIC's collection.

For questions about OA articles, please email [DTIC Public Access](#).

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