The NIH Public Access Policy

Neil Thakur, Bart Trawick, Katie Funk
June 26, 2014

Website: http://publicaccess.nih.gov

Randal Davis
SCTR Project Director

Rebecca Barry / Diana Barrett
SCTR TEACH

Most Important Info:

Call SCTR SUCCESS Center and Request an NIH Public Access Consult (Randal and Becca):
Phone: 2-8300
Email: success@musc.edu
**Also, for RPPR – Susan Greene in ORSP

MUSC’s Secret Weapons for NIH Manuscript Submission System: Jennifer Peterson and Becca Barry

MUSC’s Secret Weapon for ALL Journal-related Submission Questions: Teri Lynn Herbert (Library)
Today’s Discussion: The NIH Public Access Policy

1. The Basics
2. Awardee Tasks
3. Enhancing Compliance
4. NIHMS: Processing Manuscripts
5. My NCBI Features: A Primer
6. Compliance Monitoring for Institutions
7. Ways Institutions Can Ensure Compliance

1) The Basics:

• The Policy
• Its Implications
The Policy Applies to Any Manuscript That...

Is peer-reviewed;

Is accepted for publication in a journal on or after April 7, 2008;

And, arises from:

- Any direct funding from an NIH grant or cooperative agreement active in Fiscal Year 2008 or beyond, or;
- Any direct funding from an NIH contract signed on or after April 7, 2008, or;
- Any direct funding from the NIH Intramural Program, or;
- An NIH employee.

Definitions: Article Types

**Final Published Article**
- Journal’s authoritative copy of the paper
- Includes peer review modifications plus copyediting and formatting changes
- *Submitted by Publishers/Journals to PMC (Methods A&B)*

**Final Peer-Reviewed Manuscript:**
- Author’s final manuscript of a peer-reviewed paper accepted for journal publication
- Includes all modifications from the peer review process
- *Submitted by Authors and Publishers/Journals to PMC (Methods C&D)*
PubMed vs PubMed Central (PMC)

Free resources developed by the U. S. National Library of Medicine

PubMed.gov

- Biomedical journal citations + abstracts
- Some links to full text articles at PMC and publisher websites.
- Unique identifier: PMID followed by a series of numbers.

VS

PMC

- Digital archive of full-text, peer-reviewed journal papers.
- Unique identifier: PMCID followed by a series of numbers.

Or, another way to think about it:

PubMed.gov

is analogous to

PMC

VS

VS

is analogous to

PBS
2) Awardee Tasks

- Address Copyright
- Posting Papers
- Documenting Compliance

Institutions and investigators are responsible for ensuring full compliance with the Public Access Policy.

Make sure the copyright transfer agreement allows the final peer-reviewed manuscript to be submitted to NIH.

We encourage authors to consider
- Who will submit the paper and/or approve the submission?
- What version of the paper will be made available on PMC?
- When will it be submitted and when will the paper be made public on PMC?
The 4 ways papers make their way into PMC:

- **Method A**: Publish in a PMC-participating journal.
- **Method B**: Arrange to have a publisher deposit the final published article in PMC.
- **Method C**: Submit the final peer-reviewed manuscript to the NIHMS.
- **Method D**: A publisher begins the submission process for a manuscript via the NIHMS.

Link to find Method A & B journals and publishers:
http://publicaccess.nih.gov/submit_process.htm

**NOTE**: Method B - Did you make arrangements with one of the journals or publishers listed below to have the final published version of your paper posted directly to PubMed Central (i.e. pay an open access fee)?

If yes, you are using Submission Method B.
If no, submit your paper through the NIHMS. See Methods C and D Best Practices

---

**Posting Papers: Methods A and B straight to PMC**

A: **Journal** deposits the published version of all NIH-funded articles in PMC.

B: Author arranges for **Publisher** to deposit published version of specific article in PMC.

Final published article in PMC
Methods C&D: Manuscript submission to the NIHMS

Who can deposit manuscripts in the NIHMS?
- An Author
- A Delegate: anyone given access to the author's files
- The Publisher

Remember:
Only Authors can approve the submission and web versions of the manuscript. Awardees need an NIHMSID upon acceptance for publication.

1. Deposit manuscript files - An NIHMSID is assigned to the submission.

C  Author or delegate submits final peer reviewed manuscript to the NIHMS.

D  Journal publisher submits final peer reviewed manuscript to the NIHMS.
2. **Author approves PDF receipt**, gives permission to NIH to process the manuscript: **Methods C and D**.

- **Author or delegate submits final peer reviewed manuscript to the NIHMS.**
- **Journal publisher submits final peer reviewed manuscript to the NIHMS.**
- **NIHMS sends author an email asking author to approve the submitted materials for processing.**

3. **Author** approves PMC-formatted manuscript for public display: **Methods C and D**.

- **Author or other** submits final peer reviewed manuscript to the NIHMS.
- **Journal publisher submits final peer reviewed manuscript to the NIHMS.**
- **NIHMS sends author an email asking author to approve the submitted materials for processing.**
- **Author reviews and approves the PMC-formatted manuscript.**

*After submission is complete, NIHMS emails the citation with PMCID to author and PIs*
Posting Papers: Summary

<table>
<thead>
<tr>
<th>Version of Paper Submitted</th>
<th>Final Published Article</th>
<th>Final Peer-Reviewed Manuscript</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission Process</td>
<td>Publisher posts the paper directly to PMC</td>
<td>Papers are required to be submitted via the NIHMS upon acceptance for publication. The NIHMS converts them to the PMC native format.</td>
</tr>
<tr>
<td>Deposit Files</td>
<td>Method A Journals post NIH supported papers automatically Authors must make special arrangements for Method B journals and publishers to post the paper Manuscripts must be submitted to the NIHMS upon acceptance for publication Authors or their designee must submit Method C papers to the NIHMS Method D publishers will submit papers to the NIHMS</td>
<td></td>
</tr>
<tr>
<td>Approve Submission</td>
<td>Publisher</td>
<td>Author, via NIHMS</td>
</tr>
<tr>
<td>Approve PMC web version</td>
<td>Publisher</td>
<td>Author, via NIHMS</td>
</tr>
<tr>
<td>Responsible Party</td>
<td>NIH awardee</td>
<td>NIH awardee</td>
</tr>
<tr>
<td>To cite papers, from acceptance for publication to 3 months post publication</td>
<td>PMCID or &quot;PMC Journal - In Process&quot;</td>
<td>PMCID or NIHMSID</td>
</tr>
<tr>
<td>To cite papers, 3 months post publication and beyond</td>
<td>PMCID</td>
<td>PMCID</td>
</tr>
</tbody>
</table>

How to cite papers in press (epub ahead of print), or within 3 months of publication...

For Method A and B Journals, use “PMC Journal - In Process”.

For Method C and D Journals, use the NIHMSID.

**NIHMSIDs will not be accepted 3 months after publication.**
- PMCID assignments are assigned around the time of publication.
- Use the PMCID once it is assigned.
How to cite papers archived in PMC

- When citing a paper in NIH applications, proposals, and progress reports, include the PMCID at the end of the full citation.
- Applies to papers that fall under the Policy and are authored or co-authored by you.

Example

3) Enhancing compliance
- Scope
- My NCBI, RPPR and PHS 2590
(NOT-OD-12-160) For non-competing continuation with a start date of July 1, 2013 and beyond

• Awards will be placed on hold until grantees have demonstrated compliance

• My NCBI is required to report papers, when electronically submitting progress reports using the Research Performance Progress Report (RPPR)

• PDF reports generated from My NCBI are required, when submitting paper progress reports using the form PHS 2590 (replaces publication section)

RPPR and E Notification

Trigger: When a grantee submits a RPPR to NIH that associates 1 or more publications with the award for which the public access compliance status is “Noncompliant”.

Recipients: to the PD/PI, with a cc to the AO, SO, GMS, IC mailbox, and PO.

Response: The grantee may respond to the eNotification via email or through the Progress Report Additional Materials (PRAM) link.
Example: PRAM for Public Access

4) NIH Manuscript Submission System: Processing manuscripts
Each Login route has its own NIHMS account
Submitters must continue to use the same login method for subsequent visits to NIHMS.

<table>
<thead>
<tr>
<th>Route</th>
<th>Users</th>
</tr>
</thead>
<tbody>
<tr>
<td>eRA Commons</td>
<td>NIH extramural principal investigators, grantees or applicants</td>
</tr>
<tr>
<td>NIH</td>
<td>NIH intramural scientists</td>
</tr>
<tr>
<td>publisher</td>
<td>publishers</td>
</tr>
<tr>
<td>HHMI</td>
<td>Howard Hughes Medical Institute investigators</td>
</tr>
<tr>
<td>myNCBI</td>
<td>others</td>
</tr>
</tbody>
</table>

You should use the same login for all subsequent visits.

NIHMS does not maintain these login routes. If you experience problems with your login, please contact the Institution that is responsible for the account.

If you do not have an account, please click on the proper login route to create one (except NIH and Publisher login routes).

For more information on how to use this system to submit your manuscript see User’s Guide.
### NIHMS: Methods C & D

<table>
<thead>
<tr>
<th>Method</th>
<th>Author or delegate deposits manuscript files in NIHMS</th>
<th>Manuscripts that meet the criteria of the NIH Public Access Policy</th>
<th>At the time the paper is accepted for publication</th>
<th>Deposit files</th>
<th>Author responsibility?</th>
</tr>
</thead>
<tbody>
<tr>
<td>C</td>
<td>Which articles?</td>
<td>Manuscripts that meet the criteria of the NIH Public Access Policy</td>
<td>When?</td>
<td>Associate funding</td>
<td>Approve deposit</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Review &amp; approve PMC web version</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Method</th>
<th>Publisher deposits manuscript files in NIHMS</th>
<th>Manuscripts that meet the criteria of the NIH Public Access Policy</th>
<th>At the time the paper is accepted for publication</th>
<th>Notify publisher of NIH support</th>
<th>Author responsibility?</th>
</tr>
</thead>
<tbody>
<tr>
<td>D</td>
<td></td>
<td>Manuscripts that meet the criteria of the NIH Public Access Policy</td>
<td>When?</td>
<td>Associate funding</td>
<td>Approve deposit</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Review &amp; approve PMC web version</td>
</tr>
</tbody>
</table>
Three Steps for Authors in NIHMS

1. Author approves submission
2. QA of submitted materials
3. Taggers convert files to XML
4. NIHMS generates standard format documents
5. QA of XML/HTML/PDF versions
6. Author reviews PMC web version
7. Approved documents are sent to PMC (once final citation information available)

Submitter Deposits Files
- Review Tables
- Link Grants
- Approve
- Agree
- Submit

Conversion Process
- Notification sent to assigned reviewing author
- The magic behind the scenes
- Notification sent to assigned reviewing author
Author Approves Submission

Review of NIHMS submission statement

Submission Statement

Manuscript Title: Introduction to the Special Issue on Social and Motivational Processes in After-School Settings: Bridging Gaps Between Theory, Research and Practice

Accepted for Publication in: The Journal of Early Adolescence

I am an author of this manuscript, and I am providing it to the National Institutes of Health (NIH) to make publicly available in PubMed Central immediately after its official date of publication in the journal.

I confirm that:

Publication and Copyright Agreements — In any agreements that I have made with the journal, I have retained the right to deposit this version of the manuscript with PMC, so that it may be appropriately tagged and made available to the public on the PMC website; or, otherwise am legally authorized to deposit this manuscript for the purposes described.

Confidentiality — The manuscript may contain confidential information that must not be publicly disclosed prior to publication of the paper in the named journal.

Peer Review — The version I am depositing has been peer reviewed and accepted for publication and includes all modifications resulting from the peer review process.

Funding — The manuscript is the result of research supported, in whole or in part, by direct costs funded by NIH.

Author Reviews PMC Web Version

Review and Approve Web Version of Manuscript

Please review the PubMed Central formatted version of your manuscript.

This is the final step in the manuscript submission process.

Review

PMC-ready manuscript

Original version (for your reference)

Manuscript with paragraph numbering (for error reporting)

History

Go to Manuscript List

Request Corrections

Approve
5) My NCBI: a Primer

What is My NCBI?

My NCBI is a free account system that provides customized services for many NCBI databases, such as PubMed.

Key features for our discussion:
- Can be linked to eRA Commons accounts
- Commons-linked users can associate publications with NIH grants
- Tracks NIH Public Access compliance
- The only way to enter publications into RPPR
- Creates the publications section (Section E) of PHS 2590s
Public access status codes

• Working Through the Myriad Issues with Yellow and Red Dot Pubs
  • The My NCBI instructions do not provide detailed solutions for all of the non-compliant issues that you will encounter

• Missing Publications
  • If using filters in “My Bibliography,” ensure that you select ALL NIH grant numbers including those grant numbers that include the project year (-01, -02, etc)
  • When searching PubMed, make sure you search using wildcards before and after your grant number (%UL1TR000062%)
  • Conduct a manual cross check between a PubMed search and the publications listed in My Bibliography (we ran searches with our grant numbers and our reportable investigators names)

Public access status codes

• Working with Yellow and Red Citations
  • Add funding to those citations that are missing the grant award (ex: some citations that are indexed in PubMed and show the grant number but which haven’t been entered into NIHMS will not always show the grant number in My Bibliography)....click “Add or Delete Award” beneath the affected pub on the My Bibliography screen and choose your CTSA award from the list
  • Contact the NIHMS Help Desk to remove a grant association for those publications that appear in My Bibliography but are listed in journals that are not peer reviewed
  • To discern where a yellow status publication has stalled....click on the NIHMS link beneath the citation on the My Bibliography screen. NOTE: citations that are Epub ahead of print are still “in press” and are not considered published until they are actually printed in the respective journal and receive page numbers and volumes..contact your Program Officer before reporting on your APR
How My NCBI Reduces PI Workload

- **Automated and Collaborative Methods to Track Publications**
  - Import citations directly from PubMed
  - Automated matches of manuscript citations to PubMed records
  - NIHMS paper-grant suggestions
  - Recommendations from other authors
  - Paper-grant associations by other PI authors

- **Year round management**
- **Live Public Access compliance status for every record**
- **Delegation**
Appendices

Resources

About the Public Access Policy:
- For Sponsored Programs: [http://publicaccess.nih.gov/sponsored.htm](http://publicaccess.nih.gov/sponsored.htm)
- Training materials for PIs and other communications: [http://publicaccess.nih.gov/communications.htm](http://publicaccess.nih.gov/communications.htm)
- Questions: PublicAccess@NIH.GOV

The NIH Manuscript Submission System:

PubMed Central:
- Information for Publishers: [http://www.pubmedcentral.nih.gov/about/pubinfo.html](http://www.pubmedcentral.nih.gov/about/pubinfo.html)
Relevant Guide Notices

• NIH Guide Notice NOT-OD-08-033

• NIH Guide Notice NOT-OD-09-071 announces the policy is permanent, per the consolidated Appropriations Act, 2009