What Does NIH Want From Me??
Mandatory Compliance –
Grants, PMC & Open Access

September 10, 2014

© Teri Lynn Herbert, M.S., M.L.I.S.
How does this affect you?

• If NIH, HHMI, Wellcome Trust or the MRC funds your research, you must deposit the full text of the resulting publications in the PubMed Central digital archive.

• These articles must be deposited in PMC upon acceptance for publication.

• They must be made openly and freely available within 12 months (NIH) or 6 months (HHMI, Wellcome Trust, MRC).
So, to triage this:

- If your journal article manuscript:
  - Is NOT resulting from NIH funding to you and/or your co-authors-------------------STOP, you are DONE.
  - Was NOT submitted to a PEER-REVIEWED journal-----------------------------STOP, you are DONE.
  - Is written in a script other than Latin (e.g., Russian, Japanese), it cannot be processed/deposited by/in NIHMS.

None of the above, you’ve got to comply.
Details

- The best source for these details is the NIH web site and FAQs:

Awardees are reminded that compliance with the NIH Policy is an institutional/investigator’s responsibility (not the publisher’s). Failure to provide evidence of compliance with the NIH Public Access Policy in an application, proposal or report is a violation of the terms and conditions of the NIH award. (they have started sending threatening ‘nastygrams’ this past year.)

NIH may suspend awards found to be out of compliance, pending corrective action, or may terminate the award for cause. (per 45 CFR 74.61, 74.62, and 92.43)
Who Deals With Compliance?

- The Awardee is responsible for:
  - Copyright transfer agreements
  - Posting the paper
  - Documenting the compliance

SO:
- Decide who will be the designated person to approve the submission and/or submit the paper.
- AND/OR to follow up if it isn’t there in a certain time.
How to deposit in PMC

• Method A: Publish in a journal that deposits all NIH-funded final published articles in PubMed Central (PMC) without author involvement. (Journal List) (or check SHERPA/RoMEO) http://publicaccess.nih.gov/submit_process_journals.htm

• Method B: Make arrangements to have a publisher deposit a specific final published article in PubMed Central (you paid an open-access fee to the publisher) (Publishers) (or check SHERPA/RoMEO) http://publicaccess.nih.gov/select_deposit_publishers.htm

• Method C: Deposit the final peer-reviewed manuscript via the NIH Manuscript Submission System. (NIHMS) http://www.nihms.nih.gov/ This NIHMSID deposit is valid for 3 months after article is published. The PMCID must be obtained at that point.

• Method D: Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited in the NIH Manuscript Submission System. (NIHMS) This NIHMSID deposit is valid for 3 months after the article is published. The PMCID must be obtained at that point.
Methods C & D

- This is a two step process: Designated person deposits it via the NIHMS system, then the:
- Designated person must approve the PDF receipt and allow NIH to process the manuscript-Step 1
- AND respond to a followup email asking for approval of the PMC-formatted manuscript-Step 2

NOTE: you will get two emails after depositing that must both be answered!
Versions

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

- **Final peer-reviewed manuscript**: The Investigator's final manuscript of a peer-reviewed paper accepted for journal publication, including all modifications from the peer review process. (MS Word document) (all supplemental data must also be deposited). (Methods C & D done by the author)

- **Final published article**: The journal’s authoritative copy of the paper, including all modifications from the publishing peer review process, copyediting and stylistic edits, and formatting changes. (Methods A & B done by the publisher)
Where to find out a journal’s policy?

- Check the NIH FAQ pages (http://publicaccess.nih.gov/)

Go to SHERPA/RoMEO: http://www.sherpa.ac.uk/romeo/

- SHERPA = Securing a Hybrid Environment for Research Preservation and Access

- RoMEO = Rights MEtadata for Open archiving
  RoMEO is a list of Publisher copyright policies & self-archiving policies – look on the right side under ‘RoMEO News’ to see the lists of publishers and journals. Note the ones that charge for self-archiving before the 12 month embargo (is $5000 extortion???). Also note the Juliet link for funding agencies requirements.
Where does PubMed fit in?

- PubMed is a bibliographic database that contains references to journal articles in the life sciences with a concentration on biomedicine. It includes MEDLINE which indexes over 9000 journals back to 1950 and current in-process articles.

- PubMed is not a full text database, but does include links to many free open access electronic articles.

- And just an FYI, if you go to PubMed via the MUSC Library home page, it shows a link to the journals that MUSC Library subscribes to:
Where is PubMed Central?

PMC is a subset of PubMed: it is the subset of full text articles deposited by the grant holder.

All PMC articles in PubMed display the PMCID and a link to the full text:

- PMC articles that have been deposited but aren’t open access yet will give a date when they will become available:

  PMID: 23801970 [PubMed]  PMCID: PMC3689415  Free PMC Article

PMID vs. PMCID and other numbers

- PubMed citations do not necessarily have a PMCID!

- Only articles that have been deposited in PMC have that identifying number assigned to them. If it is in PMC, then PubMed will have the PMCID noted in their citation.

- For example, Tony Alberg has published 143 articles that are indexed in MEDLINE/PubMed. Only 48 of them are entered into PubMed Central and have the PMCID number assigned.

- DOI = Digital Object Identifier http://www.doi.org/ – a persistent e-number assigned by a publisher to an article. Some journals now require this number in the reference list. Member publishers can be found at CrossRef.org http://www.crossref.org/
More NIH requirements

• Current NIH Grant Applications/reports MUST include the PMCID for any cited articles that were funded by NIH.

• This mandate applies only to articles resulting from your NIH-funded project(s). May be authored by others, but on your grant.

• For manuscripts-in-preparation that are being deposited to PMC, there are temporarily assigned numbers:
  - The NIHMSID (NIH Manuscript Submission ID) is good for 3 months after final article is published in the journal.

This alternate number must be included in the cited reference if the PMCID has not yet been assigned. If you have submitted to one of the publishers or journals that deposit in PMC for you, it may take several weeks to be given a PMCID.
eRA Commons and My NCBI

- An investigator may no longer enter citations to his publications in eRA Commons.

- My NCBI / My Bibliography must be used and linked to the NIH Login (eRA Commons) account.

- Two ways to enter citations in My Bibliography: import from PubMed or typed manually (if they aren’t in PubMed).

- No books/chapters/dissertations should be listed. Remember the NIH Open Access definitions – see next slide.
Open Access Policy

- The NIH public access policy applies to any manuscript that:
  - Is peer-reviewed

- And, arises from:
  - Any direct funding from an NIH grant or cooperative, or
    - Any direct funding from an NIH contract signed on or after April 7, 2008
  or
  - Any direct funding from the NIH Intramural Program
My NCBI/My Bibliography

The free system that links all accounts together

Create a login/password for My NCBI:

USE your NIH login if you have one!
Creating My Bibliography

- Choose My Bibliography – the part required for grants!

Choose either Search NCBI Databases (PubMed) or manually create citations. Note the templates for different types of publications.
Manually adding citations

Your bibliography contains no items.

Use the "Send to > My Bibliography" menu in PubMed to add citations, OR

Click here to manually create citations.

Manage My Bibliography »
Templates

Choose the type of citation to create:

- Citation from PubMed
- Manual citation (for articles that do not appear in PubMed)
- Books and Chapters
- Meeting abstracts
- Presentations
- Patents
- Other (non-standard citation)
Manual or import?

- If you enter citations manually, you can go back and edit them, adding the PMCID when it becomes available. You could also put PMC Journal – in process (after the title perhaps) **but** NIH really wants an NIHMSID and then within 3 months of the article publication, the PMCID.

- No editing possible on imported citations using PubMed.

- You can delete any cites at any time desired.

- The NIH Login links the Research Performance Progress Report (RPPR) and the NIHMS System (grant reports/renewals) and also the NIH RePORTER database.
Award View in My Bib
How to use My Bib for Compliance
The Codes

On the resulting screen, each citation is marked indicating its compliance status:

- A red dot indicates that an article is **non-compliant**.
  
  ![Public Access Compliance: Non-compliant. Citation not in NIHMS or PMC NIH Funding: No funding has been associated with this citation.]

- A yellow dot means that the citation has been submitted to the NIH Manuscript Submission system and is considered **in process**.
  
  ![Public Access Compliance: PMC Journal – In Process NIH Funding: No funding has been associated with this citation.]

- A green dot indicates that the citation is **compliant** with the NIH Public Access Policy. Note that the PMCID number displays in this status.
  
  ![Public Access Compliance: Complete. PMCID: PMC2632597 NIH Funding: No funding has been associated with this citation.]
## Award View – Are you Compliant?

<table>
<thead>
<tr>
<th>Entry</th>
<th>Title</th>
<th>Public Access Compliance</th>
<th>NIH Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Lee J, Sharei A, Sim WY, Adamo A, Langer R, Jensen KF, Bawendi MG. Nonendocytic Delivery of</td>
<td>In process at NHMS</td>
<td>R01 CA126642 - Probing Tumor Microenvironment Using Nanotechnology</td>
</tr>
<tr>
<td></td>
<td>Functional Engineered Nanoparticles into the Cytoplasm of Live Cells Using a Novel High-</td>
<td>[Edit Status] NIHMS ID:</td>
<td>[Add or delete award]</td>
</tr>
<tr>
<td></td>
<td>23145796.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Song JW, Daubriac J, Tse JM, Bazou D, Munn LL. RhoA mediates flow-induced endothelial</td>
<td>Complete. PMCID: PMC3490212</td>
<td>T32 CA073479 - Training Program in Integrative Pathophysiology of Solid</td>
</tr>
<tr>
<td></td>
<td>sprouting in a 3-D tissue analogue of angiogenesis. Lab Chip. 2012 Oct 30;12(23):5000-6. doi:</td>
<td></td>
<td>Tumors; TRAINING IN INTEGRATED PATHOPHYSIOLOGY OF SOLID TUMORS; Training</td>
</tr>
<tr>
<td></td>
<td>10.1039/c2lc40389g. PubMed PMID: 23073300; PubMed Central PMCID: PMC3490212.</td>
<td></td>
<td>Program in Pathophysiology of Solid Tumors [Add or delete award]</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>R01 CA149285 - Flow-based remodeling and function of tumor vasculature [Add</td>
</tr>
</tbody>
</table>
Creating My Bib - Hints

- Missing pubs: select ALL NIH grant numbers in filters
- If using ‘search PubMed’ to build My Bib, use wildcards before and after grant numbers (%UL1TR000062%)
- Manually cross check the PubMed search with what is entered in My Bib (use author names as well as grant numbers when searching)
Dealing with Red/Yellow Codes

- Add funding info manually to citations missing the grant award.

- To determine where a deposition has stalled, click on the NIHMS link associated with the citation – eg in press or Epub ahead of print are not considered published – you will have to wait!

- Contact the NIHMS Help Desk to help remove non-peer reviewed citations (or for specific help).
Important Note

- It is important to include ALL grant numbers on the journal submission forms if the manuscript was supported via more than one grant.
- This ensures that the credit for the articles get input to the NIH RePORTER database (and to the grants and to the institution!)
SciENcv Tool

Newest Enhancement to My NCBI

- Use the information in My Bibliography to create a BioSketch or MS Word CV

- Easy and a useful tool – link is on My NCBI page in lower right corner. SciENcv

© Teri Lynn Herbert 9/2014
Other resources

MUSC Office of Research and Sponsored Programs
http://academicdepartments.musc.edu/research/orsp/
PublicAccess

NIH Training – Open Access/My NCBI/My Bibliography
http://publicaccess.nih.gov/communications.htm

NIH Open Access Policy and FAQs
http://publicaccess.nih.gov/FAQ.htm#c3

Send questions to PublicAccess@NIH.gov
Complicated?

- Many investigators here at MUSC have delegated assistants that deal with the compliance. (Assigned/shared access to the NIHMS System/My NCBI, My Bibliography). These folks usually go through the NIH Training videos…

- MUSC help for NIHMS System: Rebecca Barry and Jennifer Peterson  
  success@musc.edu

- MUSC help for RPPR – Susan Greene in ORSP
  greenesu@musc.edu  792-2040