The NIH Public Access Policy

[Long Presentation]
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Posted at http://publicaccess.nih.gov/communications.htm

Randal Davis
SCTR Project Director

Rebecca Barry
SCTR TEACH & Project Manager
Today’s Discussion: The NIH Public Access Policy

1. The Basics
2. Awardee Tasks
3. Updates
4. My NCBI Features: A Primer
5. Ways Institutions Can Ensure Compliance
1) The Basics:

• The Policy
• It’s Implication
The NIH Public Access Policy Is Mandatory

• The Policy implements Division G, Title II, Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008) which states:

The Director of the National Institutes of Health shall require that all investigators funded by the National Institutes of Health submit or have submitted for them to the National Library of Medicine’s PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication: Provided, That the NIH shall implement the public access policy in a manner consistent with copyright law.

• 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

http://publicaccess.nih.gov/
Definitions: PubMed and PubMed Central (PMC)

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

- Database of biomedical journal citations, abstracts, and
- Links to some full text articles from PMC and publisher websites.
- Unique identifier: PMID followed by a series of numbers.

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

**Final Published Article**
- Journal’s authoritative copy of the paper
- Includes all modifications from peer review and the publishing process: copyediting, stylistic edits, and formatting changes
- *Submitted by Publishers/Journals to PMC*
Implications of a Successful Public Access Policy

Easy access to published research funded by NIH will help advance science and improve human health.

– Meets the public’s expectation that articles based on NIH-funded research are publicly available\(^1\). Over 2.6 million articles are now in PMC. Every weekday, 800,000 users access the database, retrieving over 1.5 million articles.

– NIH can monitor, mine, and develop its portfolio of taxpayer funded research more effectively.

– NIH-funded research becomes more prominent, integrated and accessible, making it easier for all scientists to pursue NIH’s research priority areas competitively.

2) Awardee Tasks

• Applicability
• Posting Papers
• Documenting Compliance
Is peer-reviewed;

And, 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.
1) Address Copyright
   - Institutions and investigators are responsible for ensuring full compliance with the Public Access Policy (e.g., that any publishing or copyright agreements are consistent with submitting to PMC).

2) Deposit Paper Upon Acceptance for Publication
   - **Method A**: Publish in a journal that deposits all NIH-funded final published articles in PMC without author involvement.
   - **Method B**: Make arrangements to have a publisher deposit a specific final published article in PMC.
   - **Method C**: Deposit the final peer-reviewed manuscript in PMC yourself via the NIHMS.
   - **Method D**: Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited via the NIHMS.

3) Cite Article
   - **Include the PMC number (PMCID)** for applicable papers in applications, proposals and reports, as described at http://publicaccess.nih.gov/citation_methods.htm.
1) Address Copyright

Before an author signs a publication agreement or similar copyright transfer agreement, make sure that the agreement allows the final peer-reviewed manuscript to be submitted to NIH in accordance with the Public Access Policy.

We encourage authors to consider

• What submission method will be used?
• What version of the paper will be made available on PMC?
• Who will submit the paper?
• When will it be submitted?
• Who will approve the submission?
• When can the paper be made public on PMC?
2) How to Submit Manuscripts

• Four different submission methods are available, which vary in:
  – Version posted
  – Use of the NIH Manuscript Submission System (NIHMS)
  – Role of Publishers
  – Role of Authors
  – Participating Journals

• Authors may use the method that is most appropriate for them and is consistent with their publishing agreement.

http://publicaccess.nih.gov/submit_process.htm
PubMed Central Submission Methods

**Method A – Journals** (> 1200) submit NIH-funded articles to PMC without author involvement.

**Method B – Publishers** deposit an individual article in PMC upon author request, generally for a fee.

Final published article submitted to PMC at time of publication, assigned a PMCID. Text available in PMC generally 12 months after the date of publication.

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1. Journal list at [http://publicaccess.nih.gov/submit_process_journals.htm#journals](http://publicaccess.nih.gov/submit_process_journals.htm#journals)
Who can deposit manuscripts in the NIHMS?

• Author
• Delegate: anyone given access to the author's files: administrative personnel, graduate students, librarians, etc.
• Publisher

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

Three steps to complete NIHMS submission process
Manuscript Submission to NIHMS

NIH Manuscript Submission system (NIHMS)

1. Deposit manuscript files - NIHMSID created and sent to the submitter

Method C - submission by author or delegate
Method D - submission by publisher

C
Author or delegate 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.

D
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.
Manuscript Submission to NIHMS

2. **Author approves PDF receipt**, gives permission to NIH to process the manuscript.

**Method C** – at time of submission, author identifies PD/PI and NIH award(s), confirms copyright or permission, specifies delay period.

**Method D** – NIHMS email: author receives NIHMSID, identifies PD/PI and NIH award(s), approves PDF receipt/ submission.

**Author Approval**

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

- **D**
  - 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.

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

After submission is complete, NIHMS emails the citation with PMCID to author and PIs

| C | **Author or other submits final peer reviewed manuscript to the NIHMS.** |
| D | **Journal publisher submits final peer reviewed manuscript to the NIHMS.** |

Author Approval

| NIHMS sends author an email asking author to approve the submitted materials for processing. |
| Author reviews and approves the PMC-formatted manuscript. |

Author Approval
Overview

The NIH Public Access Policy ensures that the public has access to the published results of NIH funded research. It requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. To help advance science and improve human health, the Policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication.

Preparation is Key to Avoiding Delays in Funding. Some suggestions:

- Use My NCBI’s My Bibliography feature to monitor Public Access compliance for all the applicable papers that you author or arise from your NIH award. Be sure to create an account using your eRA Commons ID, or link your current account with your eRA Commons account.
- As you plan a paper or support one with your NIH award, discuss with the authors how the paper and the NIH awards that support it will comply with the Public Access Policy.

How to Comply

All of your papers that fall under the NIH Public Access Policy, whether in press or in print, must include evidence of compliance in all of your NIH applications and reports.

1. **Determine Applicability**
   Does the NIH Public Access Policy apply to your paper?

2. **Address Copyright**
   Ensure your publishing agreement allows the paper to be posted to PubMed Central in accordance with the NIH Public Access Policy.

3. **Submit paper to PMC**
   Submit papers to PubMed Central (PMC) and approve public release. Enter your journal name into the box on the right side of the screen to determine how you paper will be posted to PMC.
Cite Articles Using PMC Numbers (PMCID)

Cite Paper

– When citing a paper in NIH applications, proposals, and progress reports, include the PMCID at the end of the full citation.

– This requirement only applies to papers that fall under the Policy and are authored or co-authored by you or arose from your NIH award.

– For more information see http://publicaccess.nih.gov/citation_methods.htm.

Example

How to cite papers in press, or within 3 months of publication...

For Method A and B Journals, use “PMC Journal - In Process”.
- Example: Sala-Torra O, Gundacker HM, Stirewalt DL, Ladne PA, Pogosova-Agadjanyan EL, Slovak ML, Willman CL, Heimfeld S, Boldt DH, Radich JP. Connective tissue growth factor (CTGF) expression and outcome in adult patients with acute lymphoblastic leukemia. Blood. [a publication date within 3 months of when the application, proposal or report was submitted to NIH]. PMCID: PMC Journal - In Process

For Method C and D Journals, use the NIHMSID.

NIHMSIDs will not be accepted 3 months after publication.
- PMCID are assigned around the time of publication.
- Please use the PMCID once it is assigned.
3) Updates

• What’s New?
• My NCBI, RPPR and PHS 2590
For Progress Reports

For non-competing continuation with a start date of July 1, 2013 and beyond (NOT-OD-12-160)

- Awards) will be placed on hold until grantees have demonstrated compliance
- Use of My NCBI will be required to report papers, when electronically submitting progress reports using the Research Performance Progress Report (RPPR)
- PDF report generated from My NCBI will be required, when submitting paper progress reports using the form PHS 2590 (replaces publication section)
A tool integrated with PubMed to track literature searches, collections of citations, and public access compliance.

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

- Other time savers: Delegation, options to share and publish bibliographies, automate searches, etc.
**NIH Manuscript Submission System Status:** Available

### C.1 Publications

Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph) during the reporting period resulting directly from this award?  
- Yes
- No

If yes, select from the table below to affiliate publications with this progress report.

If you need to login to My NCBI account please use this link: My NCBI.

<table>
<thead>
<tr>
<th>All publications associated with this project in My NCBI</th>
</tr>
</thead>
<tbody>
<tr>
<td>No items found</td>
</tr>
</tbody>
</table>

**Associate with this RPPR**  
**NIH Public Access Compliance**  
**Citation**

Nothing found to display.

- **Hide publications from My NCBI**

### Publications not associated with this project in My NCBI

9 items found, displaying all items.

<table>
<thead>
<tr>
<th>Associate with this RPPR</th>
<th>NIH Public Access Compliance</th>
<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Complete</td>
<td>Aicher SA, Hermes SM, Whittier KL, Hagarty DM. Descending projections from the rostral ventromedial medulla (RVM) to trigeminal and spinal dorsal horns are morphologically and neurochemically distinct. J Chem Neuroanat. 2011 Nov 20; PubMed PMID:22118519; PubMed Central PMCID: PMC3319838.</td>
<td></td>
</tr>
</tbody>
</table>

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<tr>
<th>Sort Table Above By</th>
<th>Date Of Publication</th>
<th>Then By</th>
<th>Author</th>
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<tr>
<td></td>
<td>Descending</td>
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</tr>
</tbody>
</table>

[http://grants.nih.gov/grants/rprr/#resources](http://grants.nih.gov/grants/rprr/#resources)
**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: PDF of PRAM for Public Access

Progress Report Additional Materials

Public Access Compliance

<table>
<thead>
<tr>
<th>Grant Number:</th>
<th>5K23HD123456-03</th>
</tr>
</thead>
<tbody>
<tr>
<td>PD/PI Name:</td>
<td>JEFFERSON, THOMAS</td>
</tr>
<tr>
<td>Project Title:</td>
<td>A New Model for the Delivery of Well-Child Care</td>
</tr>
<tr>
<td>PRAM submitted on:</td>
<td>10/04/2012 01:19 PM</td>
</tr>
</tbody>
</table>

This is a sample of text entered in response to noncompliant publications submitted as part of the RPPR...
# Publications Reported for this Reporting Period

<table>
<thead>
<tr>
<th>NIH Public Access Compliance</th>
<th>Citation</th>
</tr>
</thead>
</table>
4) My NCBI: a Primer
Display Settings: Summary, 20 per page, Sorted by Recently Added

Results: 1 to 20 of 404989

1. Dietary carotenoid-rich pequi oil reduces plasma lipid peroxidation and DNA damage in runners and evidence for an association with MnSOD genetic variant -Val9Ala.
   Miranda-Vilela AL, Akimoto AK, Alves PC, Pereira LC, Gonçalves CA, Klautau-Guimarães MN, Grisolla CK.
   PMID: 20082261 [PubMed - as supplied by publisher]

2. Predictors of 3-Year Mortality in Subjects over 95 Years of Age. The NonaSantELiu Study.
   Formiga F, Ferrer A, Montero A, Chivite D, Pujol R.
   PMID: 20082056 [PubMed - as supplied by publisher]
Sign in to NCBI

Sign in with

Google  NIH Login

eRA Commons users should sign in via the NIH Login
See more 3rd party sign in options

OR

Sign in directly to NCBI

NCBI Username:

Password:

Sign In

Forgot NCBI username or password?

Register for an NCBI account

Keep me signed in unless I sign out
(Leave unchecked on public computers)

My NCBI retains user information and database preferences to provide customized services for many NCBI databases.

My NCBI features include:
- Save searches and automatic e-mail alerts
- Display format preferences
- Filter options
- My Bibliography & NIH public access policy compliance
- Highlighting search terms
- Recent activity searches & records for 6 months
- LinkOut, document delivery service & outside tool selections

NIH funded investigator?

Extramural NIH-funded investigators looking for NIH Public Access Compliance tools should sign in using the "NIH Login" button. Use your eRA Commons credentials on the subsequent sign in page. Once signed in, navigate to the My Bibliography section.

Documentation for using these features is located in the Managing Compliance to the NIH Public Access Policy section of the NCBI Help Manual.

Adding PubMed Citations

Results: 1 to 20 of 207  Selected: 2  

1. Predicting microRNA modulation in human prostate IDentifier (SID1.0).
   Albertini MC, Olivieri F, Lazzarini R, Pilolli F, Galti F, Meroni MR, Procopio AD.
   PMID: 21334455 [PubMed - as supplied by publisher]
   Related citations

   Leung BM, Wiens KP, Kaplan BJ.
   BMC Pregnancy Childbirth. 2011 Feb 3;11:12.
   Free full text  Related citations
Adding PubMed Citations

This bibliography is private (make it public) | Edit settings for My Bibliography | Save My Bibliography to a text file (MEDLINE format)

Select: All, None 0 items selected  
Move Delete Copy View Suggest Assign Awards to Citations PDF report

Display Settings: Award view. Sort by date, group by citation type

2 of your citations require attention. Please click here to resolve the issues.

4 citations have been linked to your funding and added to your bibliography.

Journal Articles


NIH Funding:
- R01 DA023188 - D-Cycloserine Facilitation of Cocaine-Cue Extinction
- U10 DA013727 - Southern Consortium Node of the Clinical Trials Network; SOUTHEASTERN NODE OF THE CLINICAL TRIALS NETWORK; South Carolina Consortium of the Clinical Trials Network
- K23 AA020842 - Neuroimaging mechanisms of overlap between alcoholism and bipolar disorder
- F32 DA032250 - IMRI of cue-reactivity and impulsivity in recreational vs dependent cocaine users

Add or delete award


Public Access Compliance: complete. PMCID: PMC3389595

NIH Funding:
- R33 DA02085-03 - The Impact of Real-time IMRI Feedback on Response to Nicotine Cues
- R33 DA02085-04 - The Impact of Real-Time IMRI Feedback on Response to Nicotine Cues
- U11 RR029882 - South Carolina Clinical & Translational Research Institute (SCTR): CTSA INFRASTRUCTURE FOR AIDS

Public Access Compliance: Complete. PMCID: PMC3389595

Filter citations by:
Publication year:
YYYY to YYYY

Awards:
No award selected

- R01 CA08267-05 PERTURBATION...
- K12 HD055885-03 Interdisciplinary...
- R01 HL084285-01 The Role of...
- R01 AR040364-09 Program Proj...

Publication type:
- Manually-added citation
- PubMed citation

Paper-grant associations:
- Added by other PI's
- Added by NIHMS
- Linked to my Awards

Apply filters Clear all filters

http://publicaccess.nih.gov/
NIH Public Access View

My NCBI — My Bibliography

Display Settings: (✓) List view, Sort by date, group by citation type

- View:
  - List
  - Print
  - Award

- Sort by:
  - Date
  - Author
  - Title
  - Public Access Compliance
  - Reverse

- Grouping:
  - None
  - By citation type
  - Award

Apply
Public access status codes

- Public Access Compliance: Non-compliant. No PMCID 3 months post publication. NIHMS ID: NIHMS70841
  NIH Funding: No funding has been associated with this citation.

- Public Access Compliance: PMC Journal – In Process
  NIH Funding: No funding has been associated with this citation.

- Public Access Compliance: Complete. PMCID: PMC2632597
  NIH Funding: No funding has been associated with this citation.

- N/A Public Access Compliance: Not applicable
  NIH Funding: No funding has been associated with this citation.

- ? Public Access Compliance: Edit Status
  NIH Funding: No funding has been associated with this citation.
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)
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…..these may be reported in next year’s APR
Basic applicability

NIH Funding

Start Method C

Link to Method C/D

Claim Method B

Claim Exemption
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
5) Ways institutions can ensure compliance
Encourage your investigators to:

- Use My NCBI *now* to track public access compliance
- Associate papers with awards *today*
- Ensure compliance *well before* their annual reports are due, to avoid a last minute scramble
- Determine their compliance plan as they write their papers

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.GOVT

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)