The NIH Public Access Policy

Health Science Center Libraries
University of Florida
6/05/2013
Outline

• About the Policy
  – Requirements
  – Methods of Submission
    • Journal policies
  – Copyright & Embargo Periods
  – Understanding the terminology

• How to Comply

• Primary Systems to Use
  – My Bibliography (via My NCBI)
  – The NIH Manuscript Submission System (NIHMS)
The NIH Public Access Policy

Full-text articles resulting from NIH funding must be submitted to PubMed Central.

- Peer-reviewed manuscripts must be
  - submitted to PubMed Central when accepted for publication.
  - accessible to the public by 12 months after publication.
- Includes articles
  - accepted for publication after April 7, 2008.
  - resulting from grants active after October 2007.
- Starting spring 2013, the NIH will hold processing of non-competing continuation awards if publications arising from grant awards are not in compliance with the Public Access Policy.
- Publishing in an open access journal or institutional repository does not meet the Policy requirements.
Who Must Comply

Criteria for Submission

• Peer-reviewed
• Accepted for publication on or after April 7, 2008
• Arises from direct NIH funding:
  – NIH grant or cooperative agreement active in FY2008 or beyond
  – NIH contract signed on or after April 7, 2008
  – NIH Intramural Program
  – NIH employee
• Written using the Latin alphabet (that used for English - not Chinese, Russian, Arabic, etc.)

The grant Principal Investigator (PI) is ultimately held responsible but the author must complete the submission process.
Submission Methods

A. The journal will deposit all final published articles in PubMed Central automatically and you don’t have to do anything. [http://publicaccess.nih.gov/submit_process_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm)

B. The journal will deposit your final published article, but you must request that they do so (may require a fee). [http://publicaccess.nih.gov/select_deposit_publishers.htm](http://publicaccess.nih.gov/select_deposit_publishers.htm)

C. You deposit the final peer-reviewed manuscript yourself via NIH Manuscript Submission System (NIHMS, [http://www.nihms.nih.gov/](http://www.nihms.nih.gov/)) with journal permission. All responsibility for submission is yours.

D. The journal will initiate the submission process for final peer-reviewed manuscripts by depositing them, but you must complete the submission process in the NIHMS. [http://publicaccess.nih.gov/select_deposit_publishers.htm](http://publicaccess.nih.gov/select_deposit_publishers.htm)
# More on Submission Methods

<table>
<thead>
<tr>
<th>Version of Paper Submitted</th>
<th>Method A</th>
<th>Method B</th>
<th>Method C</th>
<th>Method D</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Final Journal-Formatted Article</td>
<td>Final Journal-Formatted Article</td>
<td>Final Peer-Reviewed Manuscript</td>
<td>Final Peer-Reviewed Manuscript</td>
</tr>
<tr>
<td>Task 1: Who deposits the paper?</td>
<td>Publisher direct to PMC</td>
<td>Publisher direct to PMC after author request</td>
<td>Author or delegate, via NIHMS</td>
<td>Publisher, via NIHMS</td>
</tr>
<tr>
<td>Task 2: Who approves paper for processing?</td>
<td>Not Applicable</td>
<td>Not Applicable</td>
<td>Author, via NIHMS</td>
<td>Author, via NIHMS</td>
</tr>
<tr>
<td>Task 3: Who approves paper for Pub Med Central display?</td>
<td>Not Applicable</td>
<td>Not Applicable</td>
<td>Author, via NIHMS</td>
<td>Author, via NIHMS</td>
</tr>
<tr>
<td>Participating journal/publisher</td>
<td>Method A <a href="http://publicaccess.nih.gov/submit_process.htm">Journals</a></td>
<td>Make arrangements with these publishers</td>
<td>Check publishing agreement</td>
<td>Make arrangements with these publishers</td>
</tr>
</tbody>
</table>

From: [http://publicaccess.nih.gov/submit_process.htm](http://publicaccess.nih.gov/submit_process.htm)
Copyright Issues

Check all publication or copyright transfer agreements before signing to ensure submission to PubMed Central is allowed. Journals vary widely in how they handle this policy.

The NIH provides an example of the kind of language that can be added to a copyright agreement at [http://publicaccess.nih.gov/FAQ.htm#778](http://publicaccess.nih.gov/FAQ.htm#778).

More Author Rights Resources:

- ScienceCommons and its “Addendum Generator”: [http://www.sciencecommons.org/resources/faq/authorsaddendum](http://www.sciencecommons.org/resources/faq/authorsaddendum)
- Author Rights In UF’s Copyright LibGuide: [http://guides.uflib.ufl.edu/content.php?pid=32772&sid=2475398](http://guides.uflib.ufl.edu/content.php?pid=32772&sid=2475398)
“Embargo” Periods

The NIH allows up to 1-year post-publication for appearance of the full-text article in PubMed Central (PMC).

Many journals require that authors wait for some or all of that 12-month period before allowing the article to be made available in PMC.

Some journals pre-arrange that with PMC (i.e. Methods A & B journals), others require the author to enter the embargo period when the author does the submission process (Methods C&D journals).

Always verify this requirement with the journal.

Do NOT wait until the end of the 1-year post-publication period to submit, as there is processing time required. Submit upon acceptance for publication and inform the NIH of any required embargo period during the submission process.
PubMed vs. PubMed Central

PubMed and PubMed Central are two different databases.

**PubMed**
- Is a database of article citations & abstracts.
- Having your article listed in PubMed
  - Is **not** required for compliance.
  - Does **not** guarantee submission to PMC.

**PubMed Central (PMC)**
- Is a database of full-text articles/manuscripts.
- Will include articles not in PubMed.

Abstracts in PubMed that have corresponding full-text in PMC will be inter-linked.

**Your article must be placed in PMC (not PubMed) for compliance.**
Clarifying the ID Numbers

PMID = permanent PubMed abstract identifier

PMCID = permanent PubMed Central full-text article identifier

NIHMSID = temporary manuscript submission identifier given to an author who self-submits a manuscript to the NIHMS system

The PMCID is required for compliance.

- Temporary NIHMSIDs will be replaced by permanent PMCIDs.
- NIHMSIDs are good for 3 months.
- Not all articles with PMCIDs will have PMIDs.
- PMIDs do not substitute for PMCIDs.
- You can use one identifier to find another on this website.
How to Comply

New Article
• Find out in advance what the journal’s policy is and follow it.
  – Journal method (A, B, C, D)
  – Embargo period
• Use My Bibliography (My NCBI) to keep track of all your articles.

Older Articles
• Enter article citations into My Bibliography (My NCBI).
• Link awards to articles.
• Look at citation status.
• For noncompliant articles:
  – Look up journal, find its method (A, B, C, D).
  – Contact journal to either have the journal submit or get permission to submit.
  – When needed, submit article through NIHMS system.
Primary Systems to Use

• My NCBI – My Bibliography
  – Keep track of all your publications.
  – View and manage both grant links and compliance status simultaneously.

• NIHMS – NIH Manuscript Submission System
  – Use for author submission of articles.
  – Use for author sign-off on journal-submitted articles.
  – Track status of articles during submission process.

For both, use your eRA Commons/NIH login!
Getting an eRA Commons Account At UF

- For those with NIH awards, the eRA account is created by the Proposals team in the Division of Sponsored Research (DSR).
- Anyone needing an eRA account can use the request form at [http://apps.research.ufl.edu/research/nihera/register.cfm](http://apps.research.ufl.edu/research/nihera/register.cfm).
Sign in to My NCBI

From any NCBI page (such as PubMed.gov): click on “Sign in to NCBI” in top right corner.

ONLY use the NIH Login.

Use your eRA Commons Login.

The first time you login, you will see this.

Select ‘By email’ NOT the default!!

Then click continue.
View My NCBI Page including My Bibliography.

Use the Manage My Bibliography link to view and manipulate citations, compliance status and grant links.

   Public Access Compliance: Complete. PMCID: PMC1852619.
   NIH Funding: No funding has been associated with this citation.
   Add award.


   Public Access Compliance: Complete. PMCID: PMC1852619.
   NIH Funding: No funding has been associated with this citation.
   Add award.


   Public Access Compliance: Complete. PMCID: PMC1525329.
   NIH Funding: No funding has been associated with this citation.
   Add award.


   Public Access Compliance: Complete. PMCID: PMC385299.
   NIH Funding: No funding has been associated with this citation.
   Add award.
Adding Articles to My Bibliography

If articles are in PubMed
- Be already logged in to My NCBI
- Search PubMed for article
- Select article(s) desired
- Click on “Send to”
- Click on “My Bibliography”
- Save to “My Bibliography”
- Go to My NCBI -> My Bibliography -> check to see if article listed

If articles are not in PubMed
- At “Manage My Bibliography” website
- Click “Add Citation”
- From drop-down menu, select “manual citation”
- Enter article information in form and click on “Add Citation”
- Check to see if article is listed properly in My Bibliography
NIH Policy Compliance in My Bibliography

Click on Display Setting and choose:

- **View** – Award
- **Sort by** – Public Access Compliance

Then Click Apply

Each article will display its Compliance Status – shown in text and by symbol.
Compliance Status in My Bibliography

- **Compliance is Complete, article has a PMCID**

- **Compliance is In Process at NIHMS, article has a NIHMSID**

- **Non-Compliant; No PMCID**
  - If NIHMSID available, article submission is stalled
    - Click on NIHMSID to enter NIHMS and check status
    - If no NIHMSID available, article never submitted

- **Compliance status unknown: use “Edit Status”**

- **Compliance is not required for article; it meets exclusion criteria: use “Edit Status”**
Edit Status

Select Yes or No for NIH funding support.

If it has support, answer the provided questions to establish compliance status.

Selecting “Begin Submission in NIHMS” will link you directly to the NIH Manuscript Submission System.
Linking Articles & Awards

NIH Funding section will show either

• “No funding”
• An Award #/Name

Use “Add award” to link funding to an article.
Adding an Award

Select one of your existing awards or search for another award by grant #/name or grantee name.
Creating an Award Compliance Report

Select the desired citations in My Bibliography.

- Click “All” to select all publications.
- Apply Filters
  - “Linked to my Awards”
  - Select a specific award
  - Select publication years
  - Select by paper-grant associations
- Check the boxes next to the desired publications.

Click “PDF Report.”

- Enter First, Middle, and Last Name and starting page number in report for the bibliography

Download the PDF.
Using the NIHMS

Manuscripts may be entered by
• Any author
• Any person delegated by the author

The author who initiated submission must perform the final approval before the manuscript is made publicly available in PubMed Central.

It is the PI who will be held responsible by NIH for lack of compliance on any specific grant award. PIs should track compliance by authors relying on their grant funding.

Slideshow demonstrations of each step of the submission process and links to FAQs are available at http://nihms.nih.gov/help/#slideshow.
NIHMS Login

Go to http://www.nihms.nih.gov

Click on either “Log in” or “Proceed”

Always use your eRACommons/NIH login!
Submit new manuscript.

Check on status of already submitted articles or articles in process.

Search for article by NIHMSID.
NIHMS: Enter Basic Information

After logging in, begin submission by

- Selecting the journal name
- Entering the manuscript title
- Selecting all appropriate (NIH and/or HHMI) funding mechanisms that supported the manuscript.

  - Note that grants can be linked to articles later, but at least one NIH/HHMI funding source needs to be provided at this stage
Upload the manuscript file(s).

Include full text, figures and all edits & modifications from peer review

Layout/formatting made by the journal for the final published version is not required
• The final peer-reviewed manuscript should be submitted, unless the journal publisher has given permission to submit the final published article.

The system will generate a PDF receipt that summarizes the entered information and merges the manuscript's files into one viewable document.

Confirm that the manuscript and any additional supporting documents are correct.
• If author, select release date and confirm
• If delegate, author will be notified to select release date and confirm

The NIHMSID will be assigned when this is done.
NIHMS: Processing & Final Approval

The manuscript will be processed and converted into XML and a web version created.

The author must:

- Review ‘final’ web version
- Request any needed corrections
- Give final approval
- Manuscript will be made available in PMC at selected release date
Final author approval confirms:

• authority/right to publish this version of the manuscript in PMC
• peer-review has been conducted appropriately
• all edits resulting from peer-review are included
• the manuscript was supported at least in part by NIH funding.
For More Help:

• See UF’s Guide to the NIH Public Access Policy
• Contact your Liaison Librarian
  – Health Science Center Library
  – Borland Library (Jacksonville)
  – Marston Science Library
• Contact your grant administrator
• Contact the NIH at PublicAccess@nih.gov or the NCBI at info@ncbi.nlm.nih.gov