

The NIH Public Access Policy

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Knowledge Management and
Eskind Biomedical Library



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 NIH 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.



Changes Effective July 1, 2013

- For non-competing continuation grant awards with a start date of July 1, 2013 or beyond:
- NIH will delay processing of an award if publications arising from it are not in compliance with the [NIH public access policy](#)
- Investigators will need to use [My NCBI](#) to enter papers onto progress reports. Papers can be associated electronically using the RPPR, or included in the PHS 2590 using the My NCBI generated [PDF report](#).



Implications of a Successful NIH 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 available¹.
- 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.

1. Harris Poll (2006) Most Americans back online access to federally funded research. Wall Street J Online Retrieved on July 20, 2006, from http://online.wsj.com/article_email/SB114893698047965609-IMyQjAxMDE2NDM4MTkzMzE2Wj.html.



Definitions

- ***PubMed Central (PMC)***: PubMed Central (PMC) is the NIH digital archive of full-text, peer-reviewed journal papers. These papers are indexed with a PMCID, a series of numbers preceded by 'PMC'. PMC content is publicly accessible and integrated with other databases. Currently the archive has 2.6 million articles.
- ***PubMed***: PubMed provides access to citations from biomedical literature. It includes over 22 million citations from MEDLINE and other life science journals' citations along with links to full text articles and other scientific resources. These citations are indexed with a PMID numbers.
- ***My NCBI/My Bibliography***: My NCBI is a tool that retains user information and database preferences to provide customized services for many NCBI databases.
- ***Final peer-reviewed 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***: The journal's authoritative copy of the paper, including all modifications from the publishing peer review process, copyediting and stylistic edits, and formatting changes.



The NIH Public Access Policy Applies to Any Final Manuscript that...

- 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.



How Awardees Comply

- **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).

- **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. Example: Pharmacological Reviews.
- **Method B:** Make arrangements to have a [publisher](#) deposit a *specific* final published article in [PMC](#). Example: BMJ £3000.
- **Method C:** Deposit the final peer-reviewed manuscript in [PMC](#) yourself via the [NIHMS](#). JAMA – 6 month embargo.
- **Method D:** Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited via the [NIHMS](#). Example: New England Journal of Medicine.

- **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.



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.

Vanderbilt Legal Counsel [Amendment to Publication Agreement](#).

Points 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?



How to Submit Manuscripts

- **Four different submission methods have emerged, which vary in:**
 - Version posted
 - Use of the NIH Manuscript Submission System (NIHMS)
 - Role of Publishers
 - Role of Authors



Overview of Submission Methods

	<u>Method A</u>	<u>Method B</u>	<u>Method C</u>	<u>Method D</u>
Version of Paper Submitted	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript

Overview of Submission Methods

	<u>Method A</u>	<u>Method B</u>	<u>Method C</u>	<u>Method D</u>
Version of Paper Submitted	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
Task 1: Who deposits the paper?	Publisher direct to PMC	Publisher direct to PMC	Author or designee, via NIHMS	Publisher, via NIHMS

Overview of Submission Methods

	<u>Method A</u>	<u>Method B</u>	<u>Method C</u>	<u>Method D</u>
Version of Paper Submitted	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
Task 1: Who deposits the paper?	Publisher direct to PMC	Publisher direct to PMC	Author or designee, via NIHMS	Publisher, via NIHMS
Task 2: Who approves paper for processing?	No Need for Approval	No Need for Approval	Author, via NIHMS	Author, via NIHMS

Overview of Submission Methods

	<u>Method A</u>	<u>Method B</u>	<u>Method C</u>	<u>Method D</u>
Version of Paper Submitted	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
Task 1: Who deposits the paper?	Publisher direct to PMC	Publisher direct to PMC	Author or designee, via NIHMS	Publisher, via NIHMS
Task 2: Who approves paper for processing?	No Need for Approval	No Need for Approval	Author, via NIHMS	Author, via NIHMS
Task 3: Who approves paper for Pub Med Central display?	No Need for Approval	No Need for Approval	Author, via NIHMS	Author, via NIHMS

Details: http://publicaccess.nih.gov/submit_process.htm



Submitting Manuscripts Via NIHMS- Method C

1. Deposit Manuscript Files and Link to NIH Funding
 - Can be done by author, publishers, or someone in the author's organization.
 - NIHMSID created and sent to the submitter.

2. Authors give permission to NIH to Process the Manuscript
 - Authors confirm copyright or permission, and specify delay period
 - The NIHMS will contact the author if necessary.

Tasks 1 and 2 can be done at the same time, and usually take less than 10 minutes to complete.

3. Authors approve the PMC-formatted Manuscript for Public Display
 - Can only be done by an author.

Once submission is complete, the NIHMS emails the author and all PIs the citation with the PMCID



Submitting Manuscripts Via NIHMS- Method D

1. The NIHMS contacts the corresponding author
 - Author receives the NIHMSID, identifies NIH awards.
2. Authors approve the PMC-formatted Manuscript for Public Display

Once submission is complete, the NIHMS emails the author and all PIs the citation with the PMCID

Institutions and investigators are responsible for ensuring submission



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

Liu W, Morrow JD, Yin H. Quantification of F2-isoprostanes as a reliable index of oxidative stress in vivo using gas chromatography-mass spectrometry (GC-MS) method. Free Radic Biol Med. 2009 Oct 15;47(8):1101-7. PMCID: PMC2749920.

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, Pogossova-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**.
 - Example: Cerrato A, Parisi M, Santa Anna S, Missirlis F, Guru S, Agarwal S, Sturgill D, Talbot T, Spiegel A, Collins F, Chandrasekharappa S, Marx S, Oliver B. Genetic interactions between *Drosophila melanogaster* menin and Jun/Fos. *Dev. Biol.* In press.
NIHMSID: NIHMS44135
- **NIHMSIDs will not be accepted 3 months after publication** PMCIDs are assigned around the time of publication.
 - Please use the PMCID once it is assigned.



Manuscript Submission Assistance

- User-friendly **NIH tutorials** are available to guide researchers in the manuscript submission process
 - [Submitting an Article to PubMedCentral](#)
 - [Approving Submission of an Article to PubMed Central](#)
- EBL also provides a service to provide **guidance** on article submission procedures or train research **assistants & investigators** to deposit articles



Helpful NIH Policy Resources

- NIH Public Access overview
<http://publicaccess.nih.gov/index.htm>
- NIH Suggested language for copyright agreement with publisher <http://publicaccess.nih.gov/FAQ.htm#c3>
- How to Submit a Manuscript
<http://www.nihms.nih.gov/web-help/>
- General Training Materials
<http://publicaccess.nih.gov/communications.htm>



For Further Assistance

Eskind Biomedical Digital Library:
<http://www.mc.vanderbilt.edu/diglib/>

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6-1553

EBL Front Desk

6-1410

AskELIS – EBL email reference service