Session Objectives

The goals for today’s session are:

• Learn what the NIH Public Access Policy is

• Learn how NIH Public Access Policy affects NIH-funded researchers

• Learn how to comply with NIH Public Access Policy
What Is the Public Access Policy?

The NIH Public Access Policy implements Division F Section 217 of PL 111-8 (Omnibus Appropriations Act, 2009). The law states:

*The Director of the National Institutes of Health ("NIH") shall require in the current fiscal year and thereafter 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.
To What Does the Policy Apply?

NIH Public Access Policy applies to any 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.

Note that “direct funding” includes subawards.
Compliance Intro/Background

• Compliance with NIH Public Access Policy can require the use of up to 5 websites:
  – PubMed
  – PubMed Central
  – NIHMS
  – My NCBI, including My Bibliography
  – eRA Commons

• And, as always, there are acronyms galore!
  – PMID
  – PMCID
  – NIHMS ID
  – RPPR (Research Performance Progress Report)
PubMed vs. PubMed Central

- PubMed and PubMed Central are *not* the same thing!

- PubMed is a collection of citations and abstracts and sometimes links to full text articles.

- PubMed Central is NIH’s digital archive of full-text, peer-reviewed journal papers.

- It is possible for an article to have a PubMed ID (PMID), but not a PubMed Central ID (PMCID). The [PMCID](http://www.ncbi.nlm.nih.gov/books/NBK1140/) is required for compliance with NIH Public Access Policy.
How to Comply with the Policy

There are 3 parts to NIH Public Access Policy compliance:

1. Address Copyright
2. Post Paper to PubMed Central (i.e. obtain a PMCID)
3. Document Compliance
1. Address Copyright
Address Copyright

• Institutions and investigators are responsible for ensuring compliance with NIH Public Access Policy.

• Before signing a publication agreement, the author should ensure that it allows him or her to comply with the policy.
2. Obtain a PMCID
How to Comply: Obtaining a PMCID

- A PMCID must be assigned within 90 days of publication to be compliant.

- There are 4 ways for articles to be posted to PubMed Central and be assigned a PMCID:
  - **Method A**: Publisher deposits into PubMed Central automatically
  - **Method B**: Publisher deposits into PubMed Central if the author requests it, sometimes for a fee
  - **Method C**: Author deposits the final, peer-reviewed manuscript into the NIH Manuscript Submission System (NIHMS)
  - **Method D**: Publisher deposits the final, peer-reviewed manuscript into the NIH Manuscript Submission System (NIHMS)
PMCID Process: Methods A & B

These are the easiest ways to comply with the policy since the publisher does the work for you.

- Method A: a list of journals that submit the published version of NIH-funded articles can be found here

- Method B: a list of journals that submit at the author’s request (often for an open-access fee) can be found here.
PMCID Process: Methods C & D

• Methods C and D require the use of the NIH Manuscript Submission System (NIHMS).

• Per NIH Public Access Policy, files must be deposited at the time of publication acceptance.

• The process for obtaining a PMCID via Methods C & D can take 6-8 weeks, so plan accordingly.

• Method D: a list of publishers who deposit final peer-reviewed manuscripts into NIHMS can be found here.
How to Comply: Obtaining a PMCID

• No matter which submission method is used, the PI and/or delegate should track the paper’s progress to ensure compliance is met.

• NIH provides detailed instructions for each method on their Public Access Policy website:
  – [Method A](#)
  – [Method B](#)
  – [Methods C & D](#)
NIHMS Process Overview

Manuscript Submission Process

1. Deposit Files
2. Initial Approval
3. NIHMS Conversion
4. Final Approval
5. PMCID Assigned

Available in PMC
NIHMS Process Overview

- There are a number of sign-in options. Use the eRA Commons sign-in.

- You must use the same sign-in option every time or you will not see all of your submissions.

- NIHMS provides excellent step-by-step guides on their website.

- OSP cannot log into NIHMS
3. Document Compliance
Documenting Compliance

Compliance with NIH Public Access Policy must be documented in:

- **Citations**
  - References & literature cited in proposal
  - Biographical sketches included in a proposal

- **RPPR**
  - Sometimes called a non-competing renewal or type 5 award
  - Annual progress report used to trigger the next increment of funds.
Documenting Compliance: Citations

When citing references in proposals, bio sketches, and progress reports:

• PMCID at the end of the citation; or

• NIHMS ID at the end of the citation (compliant only if within 90 days of publication acceptance); or

• “PMC Journal - In Process” for Methods A & B if PMCID not yet available because the article is forthcoming.
Documenting Compliance: RPPR

• This is where PIs generally encounter NIH Public Access Policy issues.

• NIH will not release the next increment of funding until all publications are compliant.

• The progress report must list all publications for the reporting period and they must be compliant with the policy.

• RPPR can be submitted with non-compliant publications, but an additional step is required later.
### 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](#)

#### All publications associated with this project in My NCBI

No items found.

- **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>
</table>

Sort Table Above By:  
- Date Of Publication  
- **Then By:**  
  - Author  
  - Ascending  
  - Descending
My NCBI: The Basics

• My NCBI My Bibliography feeds the publications section of the RPPR.

• You must sign into My NCBI using your eRA Commons login and password.
My NCBI: Delegates

- Other_username
  - E-mail: other_email@gmail.com

Add a Delegate
My NCBI: Add Citations from PubMed

Note: citations can be added from PubMed, but not PubMed Central
My NCBI: Add Citations from PubMed

- Items can be saved from the search results by clicking multiple checkboxes or within a single listing.

- Click the “Send to” link and choose My Bibliography.

- On the next page, choose My Bibliography and hit the Save button.
My NCBI: Add Citations Manually

- To add a citation that is not in PubMed, choose another option from the dropdown menu.

- You will need to manually complete the requested fields, which vary depending on the type of publication chosen.
My NCBI: Add Award
My NCBI: Articles Added by Others

2 citations have been linked to your funding and added to your bibliography.
My NCBI: Manage Compliance
My NCBI: Manage Compliance

**NIH Public Access Compliance: Complete.** PMCID: PMC3755124

**NIH Funding:**
- R01 CA126642 - Probing Tumor Microenvironment Using Nanotechnology

Add or delete award

**NIH Public Access Compliance: In process at NIHMS.** [Edit Status] NIHMS ID: NIHMS9543

**NIH Funding:**
- R01 CA085140-06 - Integrative Biology of Tumor Metastasis

Add or delete award

**NIH Public Access Compliance: Non-compliant. No PMCID 3 months post publication.** [Edit Status]

**Funding:** No funding has been associated with this citation. Add award

**NIH Public Access Compliance: Not applicable**

**Funding:** No funding has been associated with this citation. Add award
My NCBI: Manage Compliance

Did the NIH support this citation, in whole or in part?

- Yes
- No

The NIH Public Access Policy requires scientists to submit final, peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. (See Determine Applicability for full details.) Please submit the final manuscript sent to your publisher or indicate that this publication is exempt from the policy.

We do not have a record of this citation in NIH Manuscript Submission system (NIHMS). Please choose from the following:

- Begin submission in the NIHMS.
- This citation has been submitted. NIHMS ID: [blank]
- Arrangements have been made for a publisher on this list to send the final article directly to PubMed Central. (Method B)
- This citation does not need to be submitted under NIH Public Access because:
  - Publication was not peer reviewed.
  - Publication was accepted for publication before April 7, 2008.
  - Publication was written in a script other than Latin (e.g., Russian, Japanese).
  - Publication was not directly supported by NIH.

Save & Close
Summary

• Compliance with the NIH Public Access Policy involves active participation by the PI and/or delegates.

• The process may seem complicated, but a variety of help resources exist, including online instructions and your pre-award coordinator.

• Best practice is to stay on top of publications throughout the year rather than wait until RPPR time.

• Non-compliance can lead to a delay in funding. NIH will not release the next increment of funding until all publications are compliant.
Resources


• FAQ Pages:
  – NIH Public Access Policy
  – My Bibliography
  – NIHMS
  – RPPR
  – My NCBI Delegates

• PMID/NIHMS ID to PMCID Converter:
Resources

- NIH Public Access Policy Video Training: https://www.youtube.com/watch?v=PVG_lkkoJuw&list=PLOEUwSnjvqBJS9LZs1vMoG6vcAbTAsq0H

- NCBI and the NIH Public Access Policy: https://www.youtube.com/watch?v=2ze2PNHvLYk
Questions?

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