The NIH Public Access Policy

National Institutes of Health
Presented by Molly Barnett
Carpenter Library
In accordance with Division F Section 217 of PL 111-8 (Omnibus Appropriations Act, 2009), the NIH Public Access Policy (NOT-OD-08-033) remains a legislative mandate for FY 2009 and beyond.

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.
Key Points of the Policy

Who is responsible?  
Investigators funded by the NIH

What is submitted?  
Final, peer-reviewed manuscripts

Where to submit?  
PubMed Central (PMC)

When to submit?  
Upon acceptance for publication

When to be made publically available?  
No later than 12 months after the official date of publication
Implications of a Successful NIH Public Access Policy

Access to published research funded by the NIH will help advance science and improve human health

PUBLIC: Meets the public’s expectation that articles based on NIH-funded research are publicly available. Provides information to understand health and disease.

INVESTIGATORS: Accessibility and integration of NIH-funded research results fosters discovery, new interdisciplinary collaborations, and the ability of all scientists to pursue NIH’s research priority areas more competitively.

NIH: Provides the NIH the ability to monitor, mine, and develop its portfolio of taxpayer funded research more effectively.
Policy Applies to Any Final Manuscript* That...

- Is peer-reviewed;
- Is accepted for publication in a journal on or after April 7, 2008;
- Arises from any direct funding from:
  - an NIH grant or cooperative agreement active in Fiscal Year 2008 or beyond, or;
  - an NIH contract signed on or after April 7, 2008, or;
  - the NIH Intramural Program, or;
  - an NIH employee.

*Books, chapters, abstracts, etc. do not apply.
**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*

**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*
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
  – Four submissions methods (A-D) are available
  – Methods A & B submit final journal articles to PMC
  – Methods C & D submit final peer reviewed manuscripts to the NIH Manuscript Submission (NIHMS) system to be deposited in PMC

• Cite Paper, include PMCID
  – Include the PMC number (PMCID) for applicable papers in applications, proposals and reports, see: http://publicaccess.nih.gov/citation_methods.htm.
Open Access (OA) is a scholarly material available online to the public free of charge, and free of most copyright and licensing restrictions.

NIH Public Access Policy is the submission of NIH funded, final, peer reviewed manuscripts to the National Library of Medicine’s PubMed Central to be made freely available to the public.

- The NIH Policy is an example of the Open Access.
- Open Access articles are not compliant with NIH Policy.
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 web sites.
- 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.
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.

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 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.
Submission Methods

**Method A** – Journal/publisher deposits final published articles in PubMed Central without author involvement

**Method B** - Author asks publisher to deposit specific final published article in PMC

**Method C** - Author deposits final peer-reviewed manuscript in PMC via the NIHMS

**Method D** – Publisher deposits manuscript; author approves and completes the process
Method A: Does the journal publisher automatically submit my final article to PubMed Central (PMC) within 12 months of publication?

- If YES, you are DONE!

- If NO, continue to Method B.

Method B: Can I arrange to have the journal publisher submit the final published article to PMC?

- If YES, you are responsible for making sure that the publisher deposits the article. You are DONE!

- If NO, continue to Method C.

Method C: Do-it-yourself Submission of the final peer-reviewed manuscript upon acceptance for publication.

- If YES, you are only partly done. You must still log in to the NIHMS system to approve the submission and affirm that copyright allows deposit to PubMed Central.

- If NO, log in to NIH Manuscript Submission System (NIHMS) to submit a copy of your accepted peer-reviewed manuscript and supplemental files. Also, designate NIH funding that supported the manuscript.

- If YES, submit to PubMed Central if NO, you are DONE!

Method D: Is the journal publisher willing to submit my final peer-reviewed manuscript to PMC within 12 months of publication?

- If YES, you are only partly done. You must still log in to the NIHMS system to approve the submission and affirm that copyright allows deposit to PubMed Central.

- If NO, May be done by Author or a third party.

You are DONE!
Who can Submit Manuscripts to NIHMS?

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

Approval of the PDF receipt and web version of the manuscript requires author review and authorization.
NIHMS Login Options

The NIH Manuscript Submission allows you to submit an electronic version of your peer-reviewed final manuscript for inclusion in PubMed Central. Eligible manuscripts must have been funded by one of the participating groups listed in the login table below.

Choose a login route:

<table>
<thead>
<tr>
<th>Route</th>
<th>Users</th>
<th>Policy</th>
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<td>NIH extramural principal investigators, grantees or applicants</td>
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<td>NIH</td>
<td>NIH intramural scientists</td>
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⚠️ You should use the same login for all subsequent visits.

NIHMS does not maintain these login routes. If you experience problems with your login, please contact the institution that is responsible for the account.

If you do not have an account, please click on the proper login route to create one (except NIH and Publisher login routes).

For more information on how to use this system to submit your manuscript see User’s Guide.
Manuscript Submission Overview

Overview of the manuscript submission process

- Set up manuscript
  - Provide bibliographic information, grant or project information, and all manuscript files.

- Approve PDF Receipt
  - Review a PDF version of your manuscript to ensure that we received all of the content.

- Approve web version
  - Review and approve the web version of your manuscript for use in PubMed Central.

Before you get started

You need to have all of these on hand to send a manuscript to NIH:
- journal name
- manuscript title
- grant/project numbers
- manuscript files

Contact Us  |  Privacy Notice  |  Disclaimer  |  Accessibility
National Center for Biotechnology Information  |  U.S. National Library of Medicine  |  National Institute of Health  |  United States Department of Health and Human Services
USA.gov: Government Made Easy
Can Publishers Submit My Paper to PMC for Me?

Yes! Publishers may submit manuscripts to NIHMS on behalf of authors.

- Check with your publisher to determine if they submit to NIHMS as a service to authors.

Manuscripts submitted to NIHMS by publishers require two approvals by an author:

1) Approval of the PDF receipt and

2) Approval of the final PubMed Central web version of the manuscript.
Wiley-Blackwell will support our authors by posting the accepted version of articles by NIH grant-holders to PubMed Central upon acceptance by the journal. The accepted version is the version that incorporates all amendments made during peer review, but prior to the publisher’s copy-editing and typesetting. This accepted version will be made publicly available 12 months after publication. The NIH mandate applies to all articles based on research that has been wholly or partially funded by the NIH and that are accepted for publication on or after April 7, 2008.

NIH authors should be aware that they will receive an e-mail request once Wiley-Blackwell has posted the files of their accepted manuscript to the NIH Manuscript Submission system to approve the upload for display on the PubMed Central system. This is a requirement of their grant/affiliation….
What is the SAGE Open fee?

The fee payable by authors prior to publication, for SAGE Open is $3000 or £1600. This fee, to be paid by the author(s) prior to publication, will offset publishing costs inherent in article submission and peer review, typesetting, tagging and indexing, hosting on dedicated servers, supporting sales and marketing costs, permanently archiving the final article, and posting to the requisite repositories that will house the article for public view.

If I do not select the SAGE Open option, what rights do I have in terms of posting my author manuscript to freely accessible sites?

Your agreement with SAGE, under normal terms, will allow you to post your final version of the manuscript (the version post refereeing, and as accepted for publication, to which you can incorporate any changes introduced during copy-editing and proof-reading) to your own personal website, your Institute’s web site, and to PubMed Central, no earlier than 12 months after publication by SAGE on SAGE Journals Online.
PubMed Central and Other Archives
Authors of research articles, reports, brevias, reviews, or technical comments created under grants awarded no earlier than 2 May 2005 who are required by their funding agencies to make their research results publicly available may implement posting to the funding body's archive or designated repository, no sooner than six months after final publication, of the "accepted version" of the paper, provided the posting is linked back to the original AAAS published version and includes the published paper's full reference citation. The "accepted version" is the version of the paper accepted for publication by AAAS after changes resulting from peer review, but before AAAS's editing, image quality control, and production. This policy does not apply to categories of papers other than those identified above. In submitting to archives such as PMC, authors should set the time of public release of the accepted version at six months after final publication by AAAS.
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 (included in your handout) [http://publicaccess.nih.gov/citation_methods.htm](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
  – PMCIDs are assigned around the time of publication
  – “PMC Journal – in process” is not acceptable 3 mo. after publication

• For Method C and D Journals, use the NIHMSID.
  – PMCIDs are assigned around the time of publication
  – NIHMSID is not acceptable 3 mo. after publication
Look up articles in PubMed
http://www.wfubmc.edu/library
My Bibliography

NIH Public Access Policy Compliance Module

http://www.wfubmc.edu/library/

National Center for Biotechnology Information
National Library of Medicine
Awards View

My NCBI

Table of Contents
- My NCBI Home
- My Saved Data
- Search Filters
- Preferences
- About My NCBI

My NCBI Home > Saved Data > Collections > My Bibliography

My Bibliography is a place for you to maintain a list of your authored works.

Actions: +, -, X, Search, Print, Save
Sort by: author, title, date, journal
View: List, Grid, Summary

My Bibliography: Summary View


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

<table>
<thead>
<tr>
<th>Public Access Compliance</th>
<th>NIH Funding</th>
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Helpful Links

- NIH Manuscript Submission System (NIHMS)
- NIHMS – Tutorials
- PubMed Central
- Participating Journal
- Participating Publishers
- How to cite papers
- Submission methods
- More information on MyNCBI
- My NCBI (also available through PubMed)
- My NCBI & My Bibliography (how to set up)