The PSC's Guide to the NIH Public Access Policy

A note before we begin: We know that it can be difficult to understand the process of submitting a peer-reviewed article to be made publicly available in PMC (formerly PubMed Central). If you have questions about any aspect of submission, please contact the Information Services Staff, our compliance experts, who can guide you through the process. Their email is psc_library@mailman.ssc.upenn.edu.

Visit the PSC's NIH Public Access Policy page at http://www.pop.upenn.edu/nih-public-access-policy

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Why Comply?

It's the law!
- Peer-reviewed research arising from public funds **must** be made available to the public for free.
- PI's are required to report results to the NIH, and articles reported must have PMCID or NIHMSID numbers, or a status indicating they are in process.

No fee is required!
- Some publishers offer a paid Open Access option for publication which includes depositing to PMC, but there is always a free alternative.

It makes you and the PSC look good!
- Articles associated with your NIH Grants are shown in the Results tab of the NIH Reporter Database which makes details about your grant awards publicly available (http://projectreporter.nih.gov)

Introduction

The NIH Public Access Policy is designed to give the public access to published results of NIH funded research from any of the 27 NIH Institutes and Centers (http://www.nih.gov/icd/). As of **April 7, 2008**, it requires scientists to submit **final peer-reviewed** journal manuscripts that arise from

PSC/PARC Facts & Figures

★ **1**
Number of non-compliant articles needed to delay receipt of NIH funding

3
Number of current students who are funded by non-T32 NIH grants

11 of 29 (38%)
Number of current students who have received either NIA or NICHD Training Grant funding
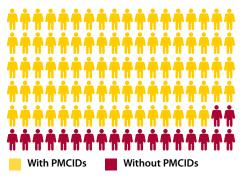
30 of 59 (51%)
Number of Research Associates who are Pilot/TRIO recipients
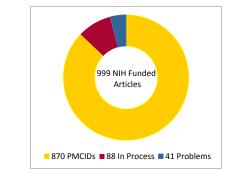
40 of 59 (68%)
Number of Research Associates who are either current NIH PIs (17) or former NIH PIs (23)

81 % of Research Associates have PMCIDs

■ With PMCIDs   ■ Without PMCIDs

PSC/PARC Research Associates' Articles

999 NIH Funded Articles

■ 870 PMCIDs ■ 88 In Process ■ 41 Problems

direct NIH funds to PMC (formerly PubMed Central) **when accepted** for publication. The Policy requires that these papers be accessible to the public on PMC no later than 12 months after publication. *The NIH Public Access Policy implements law Division G, Title II, Section 218 of PL 110-161.* http://publicaccess.nih.gov/

Please Note - You MUST comply with this policy, or proposals you submit to the NIH will be rejected.

As of July 1, 2013, NIH can delay processing of an award if publications arising from it are not in compliance with the NIH Public Access Policy. Funding has been delayed once at the PSC and we don't want this to happen again! Please contact the Information Services staff to assist you with NIH Public Access Compliance issues at any step in the publication process and even after publication, but preferably before it is even accepted for publication.

Authors must take an active role in the process by acknowledging NIH funding when initially submitting a paper for publication, and ensuring that either the journal or one of the authors will deposit the article in PMC.

Who Does the Policy Apply To?

All authors (faculty, staff, students, and other researchers) who have received direct funding from an NIH grant in Fiscal Year 2008 and beyond. **Direct funding means that costs can be specifically identified with a particular NIH-funded project or activity, including sub-awards**.

NIH awardees are responsible for ensuring that ALL manuscripts funded by their awards (whether they authored the papers or not) begin the compliance process **upon acceptance** for publication, which means ensuring that your NIH funding has been acknowledged properly with full grant numbers by the authors, and following up with authors, publishers, journals or the NIH help desk to make sure that all submission tasks are complete within three months of publication.

If you have questions about whether you were directly funded or not, please contact Julia Crane at 215-573-1369 or crane@pop.upenn.edu.

T32 Trainees: Being supported as a student on an NIH training award **constitutes direct funding**. NIH requires the PSC to track and report trainees and their publications.

After leaving Penn, all T32 trainees are required to send the GGD full references, including PMCIDs, for all work arising from work that was begun while you were a trainee. Please send NIHMS and PMCID updates as you have them to the GGD Coordinator. In addition, the GGD is required by the NIH to track ALL of your publications for 5-10 years after your graduation.

PubMed vs. PMC (formerly PubMed Central)

Q: My article is already listed in PubMed. Do I have to submit the paper to PMC?

A: Yes, you, the journal or the publisher must submit the appropriate version of your paper to PMC. PubMed and PMC are not the same databases. The PubMed database includes only citations and abstracts of articles, while PMC carries the full text of articles or manuscripts that resulted from NIH funding. The PubMed database contains abstracts from thousands of journals, but not all journals PSC researchers publish in are indexed in PubMed. Nonetheless, if your article is subject to the NIH Public Access Policy it will still need to be submitted specifically to the PMC System.

PMID, PMCID, NIHMSID numbers: What's the difference?

PMID: A PMID number is the unique number given to any publication indexed and abstracted in the National Library of Medicine's PubMed database. PMIDs have nothing to do with the NIH Public Access Policy.

PMCID: A PMCID is a unique number given to any articles or manuscripts that are made available full-text via the PMC Database, which was established by the NIH to comply with the Consolidated Appropriations Act, 2008. This is a permanent number, and should ALWAYS be included with citations on your CV and biosketch.

NIHMSID: An NIHMSID is a temporary number given to articles or manuscripts submitted via the NIH Manuscript Submission System for inclusion in PMC. The NIHMSID number is only valid for up to three months after an article is published and should not be used once the PMCID is available, but should be used in the interim on CVs and biosketches.

Locating an existing PMCID

The PMCID is posted in PubMed as soon as an article has been successfully processed by PMC, which usually occurs around the time of publication.

PMCIDs are listed just below the abstract, to the right of the PMID in "Abstract view" in PubMed (http://www.ncbi.nlm.nih.gov/PubMed).

In "Summary view," articles with PMCIDs are noted as **Free PMC Article**, and the PMCID can be seen if you click the title to view the abstract.

If the paper is successfully processed but not yet publicly available in PMC, PubMed will also list the date the paper will become available. NIH provides other methods of finding PMCIDs (e.g. http://www.nlm.nih.gov/pubs/techbull/so08/so08_skill_kit_pmcid.html).

How to Comply with the Policy

1. Determine Applicability. The 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** (October 1, 2007-September 30, 2008) and 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.

Authors may also submit final peer-reviewed manuscripts accepted before **April 7, 2008** that arise from NIH funds, if they have **appropriate copyright permission**.

2. Address Copyright Issues. Before you sign a publication agreement or similar copyright transfer agreement, contact Information Services Staff to make sure that you have properly acknowledged your funding and made the journal aware of it, and that the agreement allows the paper to be submitted to NIH in accordance with the Public Access Policy.

See the following site for a suggested cover letter to use with your journal submissions (in case your selected journal does not already include a place to indicate NIH funding in the submission process): http://www.upenn.edu/researchservices/nihpublicaccesspolicy.html

3. Acknowledge Your Funding Source. If the journal has an acknowledgement section, you are obligated to acknowledge your NIH funding and include a disclaimer. Please see the example below.

In addition, many publishers now have additional sections in their copyright agreements or additional forms you must use to disclose your funding. For purposes of complying with the Public Access Policy, it is imperative to list your **full grant number**, for example "NIH R24 HD044964". Without properly providing your grant number, Method D journals (see below) may not deposit your article in PMC.

Sample acknowledgement:

"This publication was made possible by funding from the National Institutes of Health (NIH)'s National Institute of Nursing Research (NINR) grant numbers: R01 NR004513, T32 NR007104. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the National Institutes of Health (NIH) or the National Institute of Nursing Research (NINR)."

4. Submit Papers. Many social science journals require authors to submit their own manuscripts to PMC. There are four methods to submit a paper. The journal or the publisher determines which method will be used.

> **Method A:** Some journals deposit final published articles in PMC without author involvement.
> **Method B:** Authors ask the publisher to deposit specific final published article in PMC.
> **Method C:** Author deposits final peer-reviewed manuscript in PMC via the NIHMS (NIH Manuscript Submission) system.
> **Method D:** Author completes submission of final peer-reviewed manuscript deposited by publisher in NIHMS.

5. Cite. When you submit an application, proposal or report to the NIH which cites NIH-funded papers, you must use one of the following:

- PMC reference number
  eg. PMCID: PMC1978414, or;

- NIH manuscript submission system number
  eg. NIHMSID: NIHMS69550, or;

- An approved status note
  eg. PMCID: PMC Journal - In Process

See Sample Citations at: http://www.pop.upenn.edu/nih-public-access-policy

Five Things Needed to Submit a Manuscript

1. Your eRA Commons username and password. (An eRA Commons account is for NIH Extramural principal investigators, grantees or applicants. **Please note: this is NOT the same as the PennERA system, and has its own username and password.**) Alternatively you may have an NIH Login (for Intramural NIH scientists and staff), an HHMI Login (for HHMI-funded investigators), or a MyNCBI (for third party submitters).
2. Journal Name
3. Manuscript Name
4. Grant Number(s) or at minimum the PI's name – you can look up the PI's grant numbers
5. Manuscript File(s) including all tables and figures or other supplemental material.

The basic steps of submitting a manuscript via NIHMS are listed below. For information on which version to submit, tracking the status, and more, please visit http://www.nihms.nih.gov/faq.html

- **Step 1: Log in** Users can log in to NIHMS using their eRA Commons login or their NIH login. Third party submissions may be made by My NCBI account holders.

Publisher login accounts are available for publishers interested in submitting manuscripts on behalf of authors to NIHMS.

- **Step 2: Basic Information** Enter the name of the journal and the title of your manuscript

- **Step 3: Designate support** Submitters can use the lookup tool to select all appropriate (NIH and/or HHMI) funding mechanisms that supported the manuscript. You may select multiple grants.

- **Step 4: Upload manuscript** After providing basic information about the manuscript and contact information, users can upload their manuscript file(s). The system will generate a receipt of the uploaded files in PDF format. The PDF Receipt summarizes the information entered into the system, and merges the manuscript's files into one viewable document. Submitters confirm that the manuscript and any additional supporting documents have been successfully received by NIHMS. The NIHMSID is assigned at this time. Please add this to your CV and send it to the Information Services Staff.

- **Step 5: Submission agreement and processing** An email will be sent to the Principal Investigator (PI) or an author you designate to approve the PDF and indicate the embargo period required by the publisher. Upon approval by the PI/author, the manuscript will be converted into the standardized digital format used by PMC.

- **Step 6: Approval of the converted manuscript (web version)** After the conversion process, the PI/author will review a version of the manuscript as it will appear in PMC. After final approval, the article will be publicly accessible through PMC after the time-delay specified by the PI/author.

> **Remember!**
> Your participation doesn't end with signing your publication agreements or depositing your peer-reviewed article to the NIH Manuscript Submission System. Please watch for emails from NIHMS regarding approving your submission, and respond to them promptly! **If your article has not received a PMCID by the date of publication, follow-up is necessary.** Record your NIHMSID on your CVs and biosketches, send them to the Information Services Staff, and replace them with the PMCID when it is assigned. Alert the Staff immediately if you have trouble accessing NIHMS.

Are You in Compliance?

Information Services staff can help you with compliance issues and can help provide direction about what next steps are needed to ensure compliance, determine applicability, address copyright issues and can provide guidance on how to cite compliant papers, please contact us for assistance at psc_library@mailman.ssc.upenn.edu.

Research Associates Who Use Endnote

The Information Services Staff maintains an up-to-date Endnote Library (database) for each Research Associate at the Population Studies Center and Population Aging Research Center. In our database we include PMIDs, PMCIDs, and NIHMSIDs for accepted publications, as well as notes about the status of forthcoming articles, works in progress and presentations listed on your CV. We use these Endnote libraries to prepare lists of publications for grant reporting.

If you would like a copy of the database we maintain for you, please send us an email at: psc_library@mailman.ssc.upenn.edu.

> ## How We Can Help
> **If you answer YES to any of the questions below please contact PSC Information Services Staff for assistance at psc_library@mailman.ssc.upenn.edu or 215-898-5375:**
>
> - Thinking about Publishing?
> - Do you have a final draft of a manuscript ready to upload to a journal?
> - Has your manuscript been accepted at a journal?
> - Did you forget to acknowledge NIH funding in your published journal article?
> - Are you an author that has received NIH Funding?
> - Are you an NIH PI, PILOT/TRIO recipient or an NICHD or NIA Trainee?
>
> **The Information Services Staff can assist you with:**
>
> - Interpreting the NIH Public Access Policy (does it apply to your article?)
> - Interpreting journal guidelines regarding the NIH Public Access Policy (will they deposit, do you have to deposit yourself, and if so what version do you have permission to deposit?)
> - Providing advice, assistance and guidance on how to deposit (navigating the NIHMS system)
> - Communicating with publishers about compliance with the NIH Public Access Policy (why hasn't an article been deposited?)
> - Providing you with a list of your PMCID's
>
> **Julia Crane or Mary Burns in the McNeil Business Office can assist you with:**
>
> - Obtaining proper grant numbers for your funding
> - Determining if your funding is considered "direct"
>
> Contact Julia (crane@pop.upenn.edu or 215-573-1369) or Mary (burnsmp@sas.upenn.edu or 215-898-7718).