Changes to the NIH Public Access Policy and the Implications

January 15, 2013
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Today's Discussion: The NIH Public Access Policy

1. The Basics
2. Awardee Tasks
3. An Example of Who Does What
4. Change Happens: What's new
5. My NCBI Features: A Primer
6. An Introduction to the Public Access Compliance Monitor
7. Ways Institutions Can Ensure Compliance
8. Questions and Discussion
Poll: Who is joining us today?

A. Employee of an office of sponsored research
B. Administrator for a project, team, lab or center
C. Librarian
D. Investigator and/or author of NIH supported papers
E. Other

1) The Basics:

• The Policy
• It’s Implication
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.”


What to Submit

- NIH Guide Notice NOT-OD-08-033
- NIH Guide Notice NOT-OD-09-071 announces the policy is permanent, per the Consolidated Appropriations Act, 2009

When to Submit

- NIH Guide Notice NOT-OD-08-033
- NIH Guide Notice NOT-OD-09-071 announces the policy is permanent, per the Consolidated Appropriations Act, 2009

When to Make Public

- NIH Guide Notice NOT-OD-08-033
- NIH Guide Notice NOT-OD-09-071 announces the policy is permanent, per the Consolidated Appropriations Act, 2009

Where to Make Public

- NIH Guide Notice NOT-OD-08-033
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Definitions: PubMed and PubMed Central (PMC) [bart]

Free resources developed by the U. S. National Library of Medicine

- Database of biomedical journal citations, abstracts, and articles.
- Links to some full text articles from PMC and publisher websites.
- 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.
Definitions: Article Types

**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 to PMC*

**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 to PMC*

Implications of a Successful 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 available\(^1\). Over 2.6 million articles are now in PMC. Every weekday, 700,000 users access the database, retrieving over 1.5 million articles.

- 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.

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2) Awardee Tasks

- Applicability
- Posting Papers
- Documenting Compliance

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.
  - **Method B:** Make arrangements to have a publisher deposit a specific final published article inPMC.
  - **Method C:** Deposit the final peer-reviewed manuscript in PMC yourself via the NIHMS.
  - **Method D:** Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited via the NIHMS.

• **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.

**We encourage authors 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?
### Overview of Submission Methods

<table>
<thead>
<tr>
<th>Task 1: Who deposits the paper?</th>
<th>Method A</th>
<th>Method B</th>
<th>Method C</th>
<th>Method D</th>
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<tr>
<td>Publisher direct to PMC</td>
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<td>Final Published Article</td>
<td>Final Peer-Reviewed Manuscript</td>
<td>Final Peer-Reviewed Manuscript</td>
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<tr>
<td>Publisher direct to PMC</td>
<td>Not Applicable</td>
<td>Not Applicable</td>
<td>Author, via NIHMS</td>
<td>Author, via NIHMS</td>
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<th>Participating journal/publisher</th>
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<th>Method B</th>
<th>Method C</th>
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<td>Make arrangements with these publishers</td>
<td>Check publishing agreement</td>
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**Details:** [http://publicaccess.nih.gov/submit_process.htm](http://publicaccess.nih.gov/submit_process.htm)

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### Identifying Submission Method by Journal

- **Overview**
  - The National Institutes of Health Public Access Policy ensures that the public has access to the published results of NIH-funded research. It requires grantees to submit final peer-reviewed journal articles that arise from NIH-funded research to the digital archive PubMed Central open access repository for publication. To help advance science and improve human health, the policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication.

  **Preparation is Key to Avoiding Delays in Funding.**
  - **Measures:**
    - **Title:** If international standards for public access are adhered to, all the appropriate papers that you author or co-author are NIH-funded must be submitted to an accountable publisher. Be sure to create an account using your NIH Commons or your current account with your NIH Commons account.
    - **Access:** Ensure your publishing agreement allows the paper to be posted to PubMed Central in accordance with the NIH Public Access Policy.

- **How to Comply**
  - All of your papers that fall under the NIH Public Access Policy, whether in peer or in print, must include evidence of compliance in all of your NIH applications and reports.

  1. **Determine Applicability.**
     - Even if your NIH Access Policy apply to your paper?

  2. **Address Content.**
     - Ensure your publishing agreement allows the paper to be posted to PubMed Central in accordance with the NIH Public Access Policy.

  3. **Submit Manuscript to PMC.**
     - Submit papers to PubMed Central (PMC) and approve public release. Enter your journal name into the box on the right side of the screen to determine how your paper will be posted to PMC.

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http://publicaccess.nih.gov/
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](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

- For Method C and D Journals, use the **NIHMSID**.

  **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.
Poll: How many people are viewing the webinar with you?

A. Viewing Alone
B. 1-5
C. 6-20
D. 21-50
E. More than 50

3) Awardee Tasks: an Example
Who does what?

B Trawick, N Thakur, S Gibb. When to cite a paper under the NIH public access policy. Peer Reviewed Journal. In Press. NIHMSID 1233456

Not an author, but his NIH grant supported an author

NIH support for research in paper

Salary Support From Mentor’s Grant

No NIH Support

NIH support for research in paper

Salary Support From Mentor’s Grant

No NIH Support

Who addresses copyright?

Not an author, but his NIH grant supported an author

NIH support for research in paper

Salary Support From Mentor’s Grant

No NIH Support
B Trawick, N Thakur, S Gibb. When to cite a paper under the NIH public access policy. *Peer Reviewed Journal.* In Press. NIHMSID 1233456

**Who deposits the paper to PMC?**

- NIH support for research in paper
- Salary Support From Mentor’s Grant
- No NIH Support

**Who reports the paper?**

- Not an author, but his NIH grant supported an author
- NIH support for research in paper
- Salary Support From Mentor’s Grant
- No NIH Support

http://publicaccess.nih.gov/
Questions about the policy?

5) Change Happens

- What’s New?
- My NCBI, RPPR and PHS 2590
- Why change now?
Upcoming Changes to the Public Access Policy

The Changes (NOT-OD-12-160) **No earlier than April 2013**

- Awards (non-competing continuation) will be placed on hold until grantees have demonstrated compliance
- Use of My NCBI will be required to report papers, when electronically submitting progress reports using the Research Performance Progress Report (RPPR)
- PDF report generated from My NCBI will be required, when submitting paper progress reports using the form PHS 2590 (replaces publication section)

http://publicaccess.nih.gov/ 25

What is My NCBI?

**A tool integrated with PubMed to track literature searches, collections of citations, and public access compliance.**

**Key features for our discussion:**

- Can be linked to eRA Commons accounts
- Commons linked users can associate publications with NIH grants
- Tracks NIH Public Access compliance
- The only way to enter publications into RPPR
- Creates the publications section (Section E) of PHS 2590s

- Other time savers: Delegation, options to share and publish bibliographies, automate searches, etc.

http://publicaccess.nih.gov/
POLL: Have you worked on an RPPR?

Choose one:
A. Yes
B. No

http://publicaccess.nih.gov/

Display on RPPR

http://grants.nih.gov/grants/rppr/#resources
**RPPR and E Notification**

**Trigger:** When a grantee submits a RPPR to NIH that associates 1 or more publications with the award for which the public access compliance status is “Noncompliant”.

**Recipients:** to the PD/PI, with a cc to the AO, SO, GMS, IC mailbox, and PO.

**Response:** The grantee may respond to the eNotification via email or through the Progress Report Additional Materials (PRAM) link.

Example: PDF of PRAM for Public Access

![Example PDF of PRAM for Public Access](http://publicaccess.nih.gov/)
My NCBI PDF reports

<table>
<thead>
<tr>
<th>NIH Public Access Compliance</th>
<th>Citation</th>
</tr>
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Complete


Why make the change

- **Growth** of compliance rates starting to slow
- **Better IT systems**
  - More automation of RPPR tasks for extramural staff
  - Better compliance, per early RPPR pilot (May-July 2012)
    - Papers reported in C1 of the RPPR were 2.8 times more likely to be compliant than papers reported in the text (63.0% v. 22.4%). Many papers were listed in both places, non-compliant in the text, and compliant in C1.
    - RPPRs were 2.3 more likely to report papers in the publication section
    - Comparable eSNAPs 2 times more likely to report papers in the text section
    - RPPRs were 1.3 times more likely to be submitted compliant than comparable eSNAPs
Questions?

6) My NCBI: a Primer
### NIH Public Access View

**My NCBI — My Bibliography**

**Display Settings:**
- List view, Sort by date, Group by citation type

**View Options:**
- List
- Print
- Award

**Sort by Options:**
- Date
- Author
- Title
- Public Access Compliance
- Reverse

[Link to NIH Public Access View](http://publicaccess.nih.gov/)

### Public access status codes

- **Public Access Compliance:** Non-compliant. No PMC ID 3 months post publication. NHMS ID: NIHMS20441.
- **NIH Funding:** No funding has been associated with this citation.

- **Public Access Compliance:** PMC Journal – In Process. No funding has been associated with this citation.

- **Public Access Compliance:** Complete. PMC ID: PMC2632587. No funding has been associated with this citation.

- **Public Access Compliance:** Not applicable. No funding has been associated with this citation.

- **Public Access Compliance:** Edit Status. No funding has been associated with this citation.

[Link to Public Access Status Codes](http://publicaccess.nih.gov/)
Delegation in My Bibliography

http://publicaccess.nih.gov/

PI/author collaboration

http://publicaccess.nih.gov/
How My NCBI Reduces PI Workload

• **Automated and Collaborative Methods to Track Publications**
  – Import citations directly from PubMed
  – Automated matches of manuscript citations to PubMed records
  – NIHMS paper-grant suggestions
  – Recommendations from other authors
  – Paper-grant associations by other authors

• **Year round management**

• **Live Public Access compliance status for every record**

• **Delegation**

http://publicaccess.nih.gov/

Questions?
7) An Introduction to the Public Access Compliance Monitor

Welcome to the Public Access Compliance Monitor

- Login via My NCBI

http://www.pubmedcentral.nih.gov/utils/pacm/

The Public Access Compliance Monitor is a web-based tool that institutions can use to track compliance of publications that fall under the NIH Public Access Policy.
Using the Compliance Monitor

- Requires a PACR role in eRA Commons.
- Compliance reports are tied to IPF number.
- Institutions with multiple affiliated IPFs assign a PACR role to someone for each IPF they plan to monitor.

Institution Summary

- The Institution Summary gives each IPF a snapshot of overall compliance during a selected date range.

- Click on the Compliant, Non-Compliant, or In Process number to view details about the articles that are in each of these three states.
CSV File

- Download the CSV file as an Excel worksheet.
- The Excel worksheet gives additional information, including article title, journal and publisher, first author and affiliation, and “NIHMS person” (i.e., the name of the individual currently responsible for the manuscript in NIHMS).
- Sort by PI to create an information-rich report that each PI at your institution can use to follow up on compliance issues.
- Use the “NIHMS person” column to identify individuals who may need a reminder that their manuscripts are stalled in NIHMS.
For even more information …

Click on the PMID to go to the Article Details page.

Article Details

Questions and comments?
Contact Peter Cooper:

peter.cooper2@nih.gov
8) How can institutions ensure compliance?

Encourage your investigators to:

- Use My NCBI now to track public access compliance
- Associate papers with awards today
- Ensure compliance well before their annual reports are due, to avoid a last minute scramble

Resources at http://publicaccess.nih.gov/
Ways Institutions Can Ensure Compliance

• **Training**
  – Policy awareness, submitting papers, preparing citations

• **Author Support**
  – Submitting manuscripts
  – Answering questions

• **Support on Publishing Agreements**
  – Policies
    • Coversheets/Addenda
    • (NIH’s Example: http://publicaccess.nih.gov/nih_employee_procedures.htm)
  – Questions/discussion with publishers

• **Ensuring compliance**
  – Checking applications, proposals and reports

NIH Support

• **NIH Public Access Policy Online**
  – Email: PublicAccess@nih.gov
  – Website: http://publicaccess.nih.gov
  – OER Website: www.grants.nih.gov

• **Contacts:**
  – NIH Public Access Policy: Neil.Thakur@nih.gov
  – eRA Systems: Scarlett.Gibb@nih.gov
  – NCBI: Bart.Trawick@nih.gov
  – PACM: Peter.Cooper2@nih.gov

This presentation and a webinar archive will be available at http://publicaccess.nih.gov/sponsored.htm.
8) Questions and Discussion