The Revised NIH Public Access Policy

Cathy Sarli
Scholarly Communications Specialist
Bernard Becker Medical Library
April 2008
Revised NIH Public Access Policy: Key Points

• **WHO:** All investigators funded by NIH (FY 2008 and beyond)

• **WHAT:** Deposit an electronic version of the final, peer-reviewed manuscript upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication

• **WHERE:** National Library of Medicine’s PubMed Central (PMC)

• **WHEN:** Effective as of 07 April 2008

• **WHY:** Ensures that the public has access to the published results of NIH-funded research
Revised NIH Public Access Policy: Key Points

As of May 25, 2008:

NIH applications, proposals, and progress reports must include the PubMed Central reference number (PMCID) when citing an article that falls under the policy and is authored or co-authored by the investigator, or arose from the investigator’s NIH award.
Who is Responsible for Compliance?

Institutions and Principal Investigators are responsible for compliance. The PI of the grant is also responsible even if they are not an author or co-author of a publication that falls under the revised NIH policy.

According to NIH: “Compliance with the Public Access Policy is not a factor in the evaluation of grant applications. Non-compliance will be addressed administratively, and may delay or prevent awarding of funds.” [http://publicaccess.nih.gov/FAQ.htm#b9](http://publicaccess.nih.gov/FAQ.htm#b9)
What is a Final, Peer-Reviewed Manuscript?

The final, peer-reviewed manuscript is defined by NIH as:

"The Investigator's final manuscript of a peer-reviewed article accepted for journal publication, including all modifications from the peer review process."  [http://publicaccess.nih.gov/FAQ.htm#b2](http://publicaccess.nih.gov/FAQ.htm#b2)

It also includes all graphics and supplemental materials associated with the work.

It does not apply to non peer-reviewed materials such as correspondence, book chapters, and editorials.
What is PubMed Central?

PubMed Central (PMC) is the U.S. National Institutes of Health (NIH) free digital archive of biomedical and life sciences journal literature.

When is Compliance Required?

- NIH FY 2008 (or beyond) grant or cooperative agreement and accepted for publication on or after 07 April 2008

- Continuing NIH grant or cooperative agreement that is active in FY 2008 (or beyond) and accepted for publication on or after 07 April 2008

- NIH contract awarded after 07 April 2008

How to Comply: Steps to Follow

1. **Confirm and secure** the right to comply.  
   Some publishers participate with NIH  
   Some publishers grant authors permission upfront  
   Some authors need to secure the right

2. **Submit** the work to PMC.  
   Publisher submits  
   Self submit  
   Third party submits

3. **Approve** the submission.

4. **Cite** the PMCID reference numbers for applicable publications in future NIH applications, proposals, and progress reports.

Background on Author Rights

In order to comply with the revised NIH policy authors must retain the specific right to do so. According to NIH:

“Authors should work with the publisher before any rights are transferred to ensure that all conditions of the NIH Public Access Policy can be met. Authors should avoid signing any agreements with publishers that do not allow the author to comply with the NIH Public Access Policy.” http://publicaccess.nih.gov/FAQ.htm#c2

Authors are strongly encouraged to seek confirmation from publishers before submitting a manuscript for peer review to verify that the publisher will allow for compliance with the revised NIH Public Access Policy.
Compliance: Confirm and Secure the Right to Comply

How can authors confirm if they have the right to comply?

- Check the list of journals that cooperate with NIH and submit the final published version to PMC on behalf of authors. If authors publish in one of these journals, no further action is required for compliance except to cite the PMCID reference number in future NIH applications, proposals and progress reports.

- Review the publisher copyright agreement form.

- Review the “Instructions for Authors” or “NIH Public Access Policy Information” sections on the journal website.

List of NIH Journals  [http://publicaccess.nih.gov/submit_process_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm)
Compliance: Confirm and Secure the Right to Comply

Examples of publishers that grant authors the right to comply:

- **Science/AAA**—Authors may self-submit the peer-reviewed version; six month embargo period. Authors must include a link to the published version and the full citation.

- **Gene**—Authors may comply and Elsevier will submit the peer-reviewed version on behalf of authors.

- **PNAS**—If authors publish in this journal, no further action is needed to comply with the submission requirement of NIH Public Access Policy. PNAS submits the FINAL published version on behalf of authors.
Compliance:
Confirm and Secure the Right to Comply

If there is no clause in the publisher copyright agreement form or information on the journal website, contact the publisher or Editor in Chief of the journal and inform them of the revised NIH policy.

The publisher may be able to send an updated copyright agreement form that includes a clause that provides for the right to comply with the revised NIH policy.
Use of the NIH Addendum

Another option for authors is to use the NIH Addendum Form. This form includes the language recommended by NIH in order for authors to retain the right to comply with the revised NIH policy. Instructions are noted on the form.

"Journal acknowledges that Author retains the right to provide a copy of the final manuscript to the NIH upon acceptance for Journal publication, for public archiving in PubMed Central as soon as possible but no later than 12 months after publication by Journal."

Publishers and the NIH Policy

Some publishers are promoting options such as Springer’s “Open Choice” or Blackwell’s “Online Open.”

NIH will allow for direct costs to investigators who request publication costs such as article processing fees or open access fees in their proposed budgets.
Compliance: Submit the Work to PMC

Three options for submission to PubMed Central (PMC):

- **Journal Publisher submits**
  Many journal publishers submit on behalf of authors; some do not allow for self or third party submissions.

- **Author/PI self-submits**
  Author/PI uses *eRA Commons* account.

- **Author/PI designates a third party submitter**
  Third party submitters use free *MyNCBI* account from PubMed.
Compliance: Does the Publisher Submit?

Many journal publishers submit on behalf of authors.

Before signing the publisher copyright agreement form, authors should verify that the journal publisher:

- Submits *upon acceptance of publication*
- Allows the work to *be publicly available in PMC within 12 months of publication*

If the journal publisher does not follow both steps in submitting on behalf of authors, then authors will need to use another journal publisher in order to be in full compliance with the revised NIH Public Access Policy.
Compliance: Self-Submit

If the publisher does not submit to PMC on behalf of authors, the author will be required to self-submit.

Before self-submitting, authors will need to find out the stipulations that some publishers require authors to follow.

Some stipulations include:

- the embargo period (12 months maximum as per NIH)
- which version to post (peer-reviewed version or final published version)
- noting a Digital Object Identifier (DOI) for the final published version
- a statement as specified by the publisher
- a link to the journal publisher
- a link to the final published version on the journal website
- noting the full citation of the work
Compliance: Self-Submit Process

Authors should self-submit using the NIH Manuscript Submission System (NIHMS) via the Electronic Research Administration (eRA) Commons Account. If there are multiple PIs, one PI should be appointed as the Corresponding PI.

The author will need the following materials:

- PI name and email
- Title of the journal
- Title of the manuscript
- Final peer-reviewed version of the manuscript (or final published version if journal allows)
- Supplemental materials or graphics associated with the manuscript
- Grant number/s (full alpha numeric number)*
- All information as necessary for following the stipulations as set forth by some journal publishers including the embargo period

*multiple grant numbers can be entered for a single publication

http://www.nihms.nih.gov/
https://commons.era.nih.gov/commons/
Compliance: Third Party Submits

The author can also designate a third party to handle submissions on their behalf. Third party submissions can be processed via MyNCBI account in PubMed.

Third party submitters will need the following materials:

- PI name and email
- Title of the journal
- Title of the manuscript
- Final peer-reviewed version of the manuscript (or final published version if journal allows)
- Supplemental materials or graphics associated with the manuscript
- Grant number/s (full alpha numeric number)*
- All information as necessary for following the stipulations as set forth by some journal publishers

*multiple grant numbers can be entered for a single publication

Compliance: Approve the Submission

Self-Submit:
The PI will receive one email from NIHMS:
1. “Approve Web Version”

Publisher, Third Party or Becker Library Submits:
The PI will receive two emails from NIHMS:
1. “Approve PDF Receipt”
2. “Approve Web Version”

NIHMS will send reminder emails to PIs if emails are unanswered. PIs must approve these submissions in order to ensure full compliance with the revised NIH Public Access Policy.

NOTE: The PI will be prompted by NIHMS to create an eRA Commons account if there is no account established.
After the approval process is completed, a PMCID is assigned to the publication. The PMCID reference number is noted in two resources:

- **PubMed**
  The PMCID reference number is noted on the search results page (AbstractPlus display).

- **PubMed Central**
  The PMCID reference number is noted on the search results page.

How to Locate and Cite the PMCID: [http://becker.wustl.edu/pdf/PMCID.pdf](http://becker.wustl.edu/pdf/PMCID.pdf)
Compliance: Cite the PMCID Reference Number

Why?

“As of May 25, 2008, when citing an article in NIH applications, proposals, and progress reports that falls under the Policy, and was authored or co-authored by you or arose from your NIH award, you must include the PubMed Central reference number (PMCID).

If a PubMed Central reference number is not yet available, include the NIH Manuscript Submission system reference number (NIHMS ID) instead. http://publicaccess.nih.gov/FAQ.htm#c6
How Can WU Libraries Help with Compliance?

- Provide guidance on how to follow copyright laws
- Help authors confirm they have the right to comply
- Provide a list of peer-reviewed journals specific to a field of study that allow for compliance
- Provide an addendum with language recommended by NIH in order to retain the right to comply
- Submit to PMC on behalf of authors
- Provide consultation to third party submitters
- Locate publisher instructions/stipulations
- Help locate the PMCID or NIHMS ID reference numbers
Becker Library Third Party Submitter Service

Becker Library will submit on behalf of all WU NIH-funded authors and will also follow-up with publishers to find out specific instructions for posting, if necessary.

Becker Library will need the following materials:
- PI name and email
- Title of the journal
- Title of the manuscript
- Final peer-reviewed version of the manuscript (or final published version if journal allows)
- Supplemental materials or graphics associated with the manuscript
- Grant number/s (full alpha numeric number)*
- Confirmation that the author retained the right to comply with the revised NIH policy

*multiple grant numbers can be entered for a single publication

Files should be sent to Cathy Sarli, sarlic@wustl.edu
Resources

- How to Locate and Cite the PMCID: [http://becker.wustl.edu/pdf/PMCID.pdf](http://becker.wustl.edu/pdf/PMCID.pdf)
Any Questions?

Contact:

Cathy Sarli
sarlic@wustl.edu
Becker Library, Office 106