COMPLYING WITH NIH PUBLIC ACCESS POLICY: THE NUTS & BOLTS

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Associate Director
CHIPTS Combination Prevention Core
February 20, 2014
Session Outline

- Overview of Policy
- Complying with Policy
  - Determine Applicability
  - Address Copyright
  - Submit Paper to PMC
  - Include PMCID in Citations
- Managing Compliance using My NCBI
- Additional Resources
- Questions
What is the Policy?

• “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....”

Division G, Title II, Section 218 of PL 110-161
Implemented by NIH Public Access Policy (11 Jan 2008)
Enacted as law by Omnibus Appropriations Act of 2009
Who Has to Comply?

• All principal investigators who get any funding from:
  • an NIH grant or cooperative agreement
  • an NIH Intramural Program
  • or if NIH pays their salary

• Their institutions

• Compliance is MANDATORY, NOT OPTIONAL!
What Needs to Be Submitted?

**SUBMIT Final Peer-Reviewed Manuscript**
- Author’s final manuscript accepted for publication, which includes all revisions from peer review process
- Those accepted on or after 4/7/08
- Arise from NIH support

**NOT Final Published Article**
- Journal’s authoritative copy of the paper
- Version that appears in journal after copyediting, formatting, etc
When to Comply?

- Submit **upon acceptance** for publication
  - All submission tasks complete within 3 months of publication
- Publicly available **no later than twelve months** after (official date of) publication
- Does **NOT** mean you have 12 months to submit papers!
Where Does It Need to Go?

- Need to be deposited into **PubMed Central (PMC)**
- Can use NIH Manuscript System to submit your paper into PMC
But My Article is Already in Pubmed…

PubMed is **NOT** the same as PubMed Central!

- Online database of citations, abstracts, links to publisher sites
- Assigns PMID
- Your articles go in automatically

- Online database of full-text, peer-reviewed journal articles
- Assigns PMCID
- You usually have to take an active role
Why the Policy Exists?

• ARCHIVE
  • To create a central collection of NIH-funded research publications to preserve vital published research findings

• ADVANCE
  • To provide an information resource for scientists to research publications and for NIH to manage better its entire research investment

• ACCESS
  • To make research publications resulting from NIH-funded research available to the public
What’s New?

Effective July 1, 2013:

• NIH will **delay processing of an award** if publications arising from it are not in compliance with the NIH public access policy.

• Investigators **must use My NCBI** to enter publications into progress reports.

**NIH Notice NOT-OD-13-042:** Changes to Public Access Policy Compliance Efforts Apply to All Awards with Anticipated Start Dates on or after July 1, 2013 (released 2/14/2013)

How to Comply?

- Determine applicability
- Address copyright
- Submit paper to PMC
- Cite PMCID
How to Determine Applicability?

- Is peer-reviewed
- Is accepted for publication on or after 4/7/08,
- Arises from direct funding from an NIH grant active in FY2008, or signed on or after 4/7/08

**DOES NOT** apply to dissertations, book chapters, conference proceedings, or letters to the editor
How to Address Copyright?

- **DO NOT** sign copyright agreement if it does not allow the article to be submitted to PMC
“Journal acknowledges that Author retains the right to provide a copy of the final peer-reviewed 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.”
Points to Stipulate with Publishers

• Which 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 will the paper be made public on PMC?
UC Letter to Be Sent to Publishers

To obtain a copy of the letter, go to http://www.library.ucla.edu/libraries/11891.cfm

NIH Public Access Policy: How It Affects UCLA Researchers and How to Comply

As of April 7, 2008, researchers receiving grant money from the National Institutes of Health (NIH) have to submit copies of their resulting research papers to PubMed Central (PMC) when the papers are accepted for publication in a journal. PMC, the NIH's digital archive of biomedical and life sciences journal literature, is required to make the papers freely available to the public no later than 12 months after publication.

Making research results publicly accessible is important to the NIH. It is also an essential element of UCLA's commitment to academic freedom and its mission as a public research institution to create and disseminate knowledge for the betterment of society.

**How to Comply**

**Most Important Step: Address Copyright**

Before you sign an author agreement or copyright transfer form from your publisher, make sure that it allows the paper to be submitted to PubMed Central (PMC) in accordance with the public access policy.

UC has issued a letter signed by William Tucker, executive director of the Office of Technology Transfer and Research Administration in the UC Office of the President, that should be enclosed with any paper submitted to a journal.
How to Submit Paper to PMC?
Four Submission Methods

• **Method A:** Journal that deposits all final published articles in PubMed Central without author involvement

• **Method B:** Publisher deposit a specific final published article in PMC, usually for a fee

• **Method C:** Author/delegate deposit peer-reviewed manuscripts via NIHMS

• **Method D:** Publisher deposits final peer-reviewed manuscript via NIHMS, but author completes the submission process
## Four Submission Methods

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How to Determine Submission Method?

- Go to the NIH website (http://publicaccess.nih.gov/submit_process_journals.htm)
- Or check out the SHERPA/RoMEO list (http://www.sherpa.ac.uk/romeo.php)
- If not on either list, check the journal/publisher website in “For Authors” section or call them directly
For list of Publishers for Method A, go to:
http://publicaccess.nih.gov/submit_process_journals.htm
For list of Publishers for Method B and D, go to:
http://publicaccess.nih.gov/select_deposit_publishers.htm#b
http://www.sherpa.ac.uk/romeo.php

Publisher copyright policies & self-archiving

Search

RoMEO News

- SHERPA/RoMEO API Version 2.4 has been Closed Down - 26-Nov-2013
- Beta SHERPA/FACT API Announced - 31-Oct-2013
- Important changes to the SHERPA/RoMEO API - 04-Sep-2013

Special RoMEO Pages

- Publishers Allowing use of their PDFs in Repositories
- RoMEO Statistics
- Application Programmers’ Interface (API)

Additions and Updates
Example: Springer Publishing/Springer OpenChoice

...If you choose to publish your article as open access within the Springer Open Choice program, Springer deposits the final published version of your article into PubMed Central and it is made publicly accessible. The copyright will remain with you and the article will be published under the Creative Commons Attribution License. The cost of Springer Open Choice (USD 3000/ EUR 2200) is – as stated on the NIH web site – a permissible cost in your grant.

If you choose to publish your article with the traditional subscription based model (without open access), you can notify Springer to deposit the author’s accepted version of your article into the NIH Manuscript Submission System, from where it will be sent to PubMed Central and made publicly available 12 months after publication...

***
"Authors may self-archive the author’s accepted manuscript of their articles on their own websites. Authors may also deposit this version of the article in any repository, provided it is only made publicly available 12 months after official publication or later. He/ she may not use the publisher's version (the final article), which is posted on SpringerLink and other Springer websites, for the purpose of self-archiving or deposit...
How to Submit?

Log In at http://www.nihms.nih.gov/

Click on “Proceed”

NOTE: Any one can upload/submit a paper in the NIHMS system. It DOES NOT have to be an author (e.g. Admin Assistant, Project Director, Manager, any designee, etc.).
Choose a Login Route

What you will need for your submission:
- the NIH grant number(s)
- Grantee’s full name
- Authors’ full names
- the final peer-reviewed manuscript
- any supporting figures, tables, etc.

NOTE: Make sure that you use the same login option each time.
Click on “Submit New Manuscript”

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<td>Awaiting grant/project information</td>
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I don’t see one of my manuscripts.
Click on “Continue”

You can find additional help info here

Click here
Enter Journal and Manuscript Title, then click “Next: Grant Info”.

Enter journal name and article title:

- **Journal**: Journal of Addiction
- **Manuscript Title**: Randomized Control Trial of Varenicline for Methamphetamine Dependence

Click here to enter journal and manuscript title.
Enter Grant Info, then Click “Next: Upload files”
Tip: Have all of your files in a folder so that they are easily accessible for upload.

**Upload files**

Upload all files that make up your manuscript, providing appropriate file type and label for each file. You can upload multiple files at once. Please remember to submit all supplemental data for this manuscript. You will be contacted if you fail to submit supplemental data, which will delay the processing of your manuscript.

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Add another *Manuscript Text, Figure, Table, Supplementary Data* to the table.

[Upload Files]

[Save & Exit]
Review your information and files here

This is your NIHMSID# which is the temporary ID # that you can use to show compliance until you receive your PMCID#.

Manuscript Summary
Status: Awaiting submittor approval of PDF receipt.
Journal: Journal of Addiction
Manuscript Title: Randomized Control Trial of Varenicline for Methamphetamine Dep
NIHMSID #: 336473
PDF Receipt: (2011-11-03 19:53:26, 93.1 KB)

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Click here
Check here

Select a reviewer. The person MUST be an author on the paper.

Enter embargo period

Tip: Select a reviewer that is willing and is available to login to the NIHMS to approve the paper.

Select a reviewer. The person MUST be an author on the paper.

Click approve

NOTE: The reviewer DOES NOT have to be the first or corresponding author. Any author on the paper can be a reviewer as long as it is agreed upon.
Check your email!

After finish your submission, the NIHMS system will send at least 3 emails to the assigned reviewer.

The first email is to alert that the manuscript has been submitted into NIHMS and to ask the reviewer to approve upload version.

NOTE: If the reviewer does not login to approve the uploaded version, the process will be stalled.
The second email is to alert the reviewer that the PMC/web version of the manuscript is ready and to ask the reviewer to approve the web version.

NOTE: If the reviewer does not login to approve the web version, the process will be stalled.
Check your email!

The third email is to notify that the paper has been uploaded into PubMed Central and that the process is complete.

From: <nihms-help@ncbi.nlm.nih.gov>
Date: March 11, 2013, 7:40:24 PM CDT
To: [redacted]
Subject: [nihms] Manuscript #439295: Your Article is available in PMC

Dear [redacted]:

The manuscript NIHMS439295 "Operational implementation of prospective genotypically-guided antiretroviral therapy in a multicenter randomized controlled trial" has been loaded into PubMed Central and made available for public access:

Click the following to see your manuscript(s):
http://www.ncbi.nlm.nih.gov/pmc/articles/PMC3581305/

The submission process is now complete for this manuscript.

We encourage you to make further manuscript submissions as they become eligible. As always, please feel free to contact the NIHMS Help Desk with any questions or comments.

Thank you for using the NIHMS system,

The NIHMS Help Desk

All of these tasks MUST be completed within 3 months of publication!
How to Cite PMCID?

Include PMCID in Citations

Anyone submitting an application, proposal or report to the NIH must include the PMC reference number (PMCID) when citing applicable papers that they author or that arise from their NIH-funded research.

How to Cite

1. Include the PubMed Central reference number (PMCID) at the end of citations.

For papers published more than 3 months before an application, proposal and report is submitted:

List the PubMed Central reference number (PMCID) at the end of the full journal citation for the paper in NIH applications, proposals and reports. A PMCID is the only way to demonstrate compliance for these papers.

http://publicaccess.nih.gov/citation_methods.htm
How to Locate PMCID?

Contingency management to reduce methamphetamine use and sexual risk among men who have sex with men: a randomized controlled trial.

Menza TW, Jameson DR, Hughes JP, Confax GN, Shoptaw S, Golden MR
Center for AIDS and STD, Harborview Medical Center, 325 Ninth Avenue, Seattle, WA 98104, USA. menza@uw.edu

Abstract
BACKGROUND: Methamphetamine use is associated with HIV acquisition and transmission among men who have sex with men (MSM). Contingency management (CM), providing positive reinforcement for drug abstinence and withholding reinforcement when abstinence is not demonstrated, may facilitate reduced methamphetamine use and sexual risk. We compared CM as a stand-alone intervention to a minimal intervention control to assess the feasibility of conducting a larger, more definitive trial of CM, to define the frequency of behavioral outcomes to power such a trial; and, to compute preliminary estimates of CM’s effectiveness.

METHODS: We randomly assigned 127 MSM from Seattle, WA who use methamphetamine to receive a 12-week CM intervention (n = 70) or referral to community resources (n = 57).

RESULTS: Retention at 24 weeks was 84%. Comparing consecutive study visits, non-concordant UAI declined significantly in both study arms. During the intervention, CM and control participants were comparably likely to provide urine samples containing methamphetamine (adjusted relative risk [ARR] = 1.09; 95% CI: 0.71, 1.50) and to report non-concordant UAI (ARR = 0.80; 95% CI: 0.47, 1.35). However, during post-intervention follow-up, CM participants were somewhat more likely to provide urine samples containing methamphetamine than control participants (ARR = 1.21; 95% CI: 0.95, 1.54, P = 0.11). Compared to control participants, CM participants were significantly more likely to report weekly or more frequent methamphetamine use and use of more than eight quarters of methamphetamine during the intervention and post-intervention periods.

CONCLUSIONS: While it is possible to enroll and retain MSM who use methamphetamine and to retain them in treatment, our data suggest that CM is not likely to have a large, sustained effect on reducing methamphetamine use among these men.

PMID: 21172026 [PubMed - Indexed for MEDLINE]  PMCID: PMC3016390  Free PMC Article
If you have only PMID, then go to http://www.ncbi.nlm.nih.gov/sites/pmctopmid

Enter PMID here and click submit
When to Include PMCID in Citations?

As 5/25/08, must include PMCID for articles that arise from NIH funded research in:

- progress reports
- renewals
- new grant applications
- biosketches (NIH)

Examples of Citation w/o PMCID

For Methods A and B, use "PMC Journal - In Process":

For Methods C and D, use the NIHMSID number.
Summary of Citation Policy

In press or less 3 months post-publication in journal

- **PMCID**, if available or
- Methods A and B: ‘PMC Journal-In Process’
- Methods C and D: **NIHMSID**

More than 3 months post-publication in journal

- All methods: **PMCID**
How to Manage Compliance Using MyNCBI?

Go to http://www.ncbi.nlm.nih.gov/pubmed

REMINDER: Effective 7/1/13, the policy states that investigators must use My NCBI to enter publications into progress reports.
Login Using NIH/eRA Commons ID and password

NOTE: Investigators should use their eRA Commons ID to login to NCBI.
Search for your papers

TIP: Use My NCBI to manage ALL your papers. Do a search of your papers using PubMed and import all your papers into My NCBI-My Bibliography.
Select and Send to My Bibliography
Select “Edit Your Bibliography”
Track All Your Papers with My NCBI - My Bibliography

Add citations:
- From PubMed
- Manually

Use Award View to:
- Track compliance
- Start the compliance process
- Link citation with funding
- Create bibliography for progress reports
Set Display Setting to “Award” view
Monitor Compliance Status

**Green**: Compliant

**Yellow**: In-process at NIHMS

**Red**: Non-compliant

**: Need more info

**N/A**: Paper does not apply
Create Publications for Reporting

By using My NCBI, papers can be associated electronically using the RPPR, or included in the PHS 2590 using the My NCBI generated PDF report.
Sample of My NCBI Generated Publications List

### Publications Reported for this Reporting Period

<table>
<thead>
<tr>
<th>NIH Public Access Compliance</th>
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Where to Find More Info?

About the Public Access Policy:
- Questions: PublicAccess@NIH.GOV

The NIH Manuscript Submission System

PubMed Central:
- Information for Publishers: [http://www.pubmedcentral.nih.gov/about/pubinfo.html](http://www.pubmedcentral.nih.gov/about/pubinfo.html)