# COMPLYING WITH NIH PUBLIC ACCESS POLICY: THE NUTS & BOLTS

Uyen Kao, MPH 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 who require that all investigators funded by the NIH submit or have submitted for them to the National where Library of Medicine's PubMed Central an electronic version of their final peer-reviewed manuscripts what upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication...." when

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 http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-071.html

## 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!



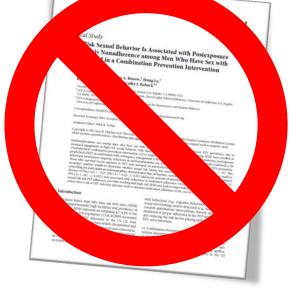


## What Needs to Be Submitted?



#### **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

	Spend today clean tomorrow 1
	NNING HEAD: Spend today clean tomorrow
RU	NNING HEAD. Spend today, clean tomorrow.
	Spend today, ciena accurrent according to the specific trial Predicting methamphetamine abstinence in a randomized controlled trial
	Kimberly Ling Murtaugh ab.
	Tamar Krishnanusti (A1
	Alexander L. Davis <sup>6</sup>
	Cathy J. Reback <sup>44</sup>
	Steven Shoptaw <sup>b</sup>
	Submitted: August 1, 2012
	18, 2013
	<sup>8</sup> To whom convergendence should be addressed. Kunberly Ling Nutrange. " Convergence of the second seco
	Suite 1800, Center for Behavioral and Automatic guard com. Phone: 310-794-0619; Fax: 310-794-074-070-0704-070-070-070-0700; Fax: 310-794-070-070-070-070-070-070-070-070-070-07
	<sup>4</sup> To when convolution of Behavioral and Addenian Medician, UCLA Department of The Conversion of Behavioral and Addenian Medician, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, UCLA Department of Family Medicine, Los Aspeles, CA <sup>1</sup> Center for Behavioral and Addenian Medicine, Department of Family Medicine, Los Aspeles, <sup>1</sup> Center for Behavioral Addenian Medicine, <sup>1</sup> CLA Department of Family
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## 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 goes 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)

http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-042.html

## 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

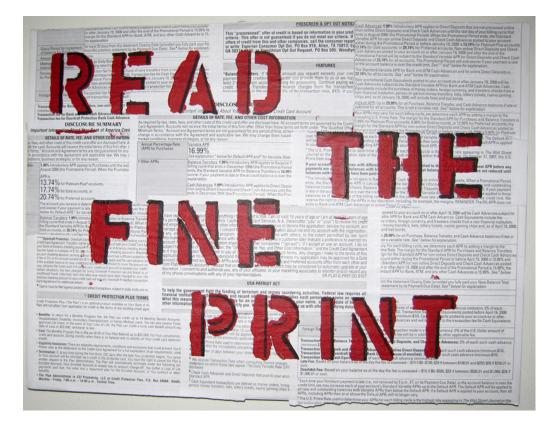
after 4/7/08,

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

## Language To Include in Copyright Agreement

"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."

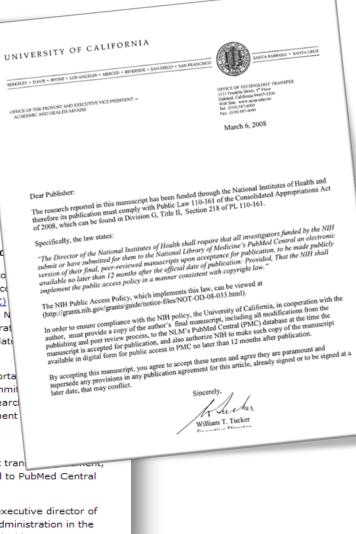
## Points to Stipulate with Publishers

- 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 <u>http://www.library.ucla.edu/libraries/11891.cfm</u>

UCLA LIBRARY	Services						
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Property		Events	Services	The research t			
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NIH Public Access Policy <u>Managing the Collections</u> <u>For Librarians</u> <u>Faculty Review: proposed cancellation list</u>		National Institutes of Health (NIH) have to submit considered and implementation in a journal. PMC, the N (http://g are accepted for publication in a journal. PMC, the N (http://g archive of biomedical and life sciences journal literat make the papers freely available to the public no late					
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## How to Submit Paper to PMC?

Spend today clean tomorrow 1 RUNNING HEAD: Spend today clean tomorrow Spend today, clean tomorrow: Predicting methamphetamine abstinence in a randomized controlled trial Kimberly Ling Murtaugh a.b.1 Tamar Krishnamurti <sup>c.d.1</sup> Alexander L. Davisd Cathy J. Reback ef Steven Shoptaw<sup>b</sup> Submitted: August 1, 2012 Revision Submitted: January 18, 2013 <sup>3</sup> To whom correspondence should be addressed. Kimberly Ling Murtaugh, 10880 Wilshire Boulevard, Suite 1800, Center for Behavioral and Addiction Medicine, UCLA Department of Family Medicine, Los Angeles, CA 90095-7087. Email: kimbertyling@gmail.com; Phone: 310-794-0619; Fax: 310-794-2808. <sup>b</sup> Center for Behavioral and Addiction Medicine, UCLA Department of Family Medicine, Los Angeles, CA "Tepper School of Business, Carnegie Mellon University, Pittsburgh, PA 15213. <sup>6</sup>Department of Engineering and Public Policy, Carnegie Mellon University, Pittsburgh, PA 15213. Integrated Substance Abuse Programs, Semel Institute for Neuroscience and Human Behavior, UCLA, Los Angeles, CA, 90024 <sup>‡</sup> Indicates equal contribution between first two authors



## 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**

	Method A	Method B	Method C	Method D
Version of paper submitted	Final Published Article	Final Published Article	Final Peer- Reviewed Manuscript	Final Peer- Reviewed Manuscript
Who starts the deposit process?	Publisher	Publisher	Author or designee, via NIHMS	Publisher
Who approves paper for processing?	Publisher	Publisher	Author, via NIHMS	Author, via NIHMS
Who approves paper for PMC display?	Publisher	Publisher	Author, via NIHMS	Author, via NIHMS

## How to Determine Submission Method?

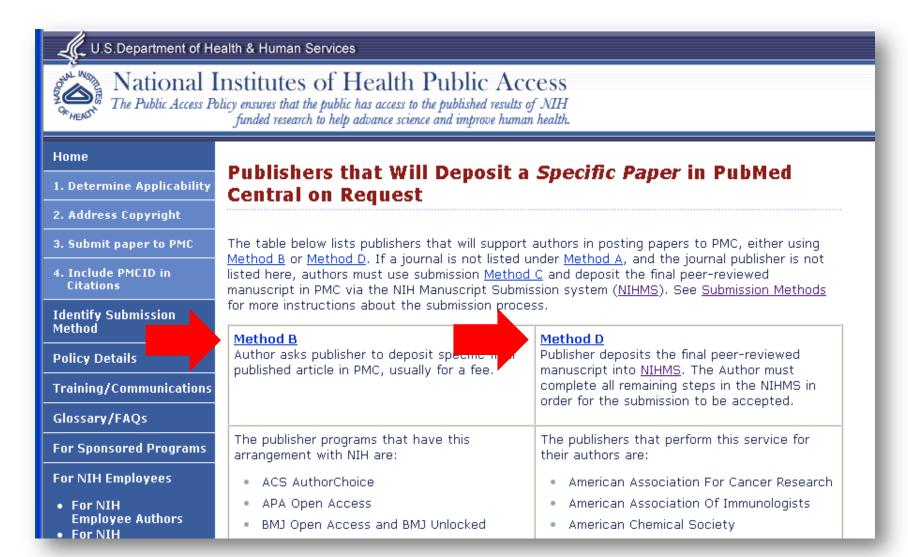
- Go to the NIH website (<u>http://publicaccess.nih.gov/submit\_process\_journals.htm</u>)
- Or check out the SHERPA/RoMEO list (<u>http://www.sherpa.ac.uk/romeo.php</u>)
- If not on either list, check the journal/publisher website in "For Authors" section or call them directly

## For list of Publishers for Method A, go to:

## http://publicaccess.nih.gov/submit\_process\_journals.htm

U.S.Department of Health & Human Services www.hhs.gov				
National Institutes of Health Public Access The Public Access Policy ensures that the public has access to the published results of NIH funded research to help advance science and improve human health.				
Home 1. Determine Applicability	Identify Submission Method			
2. Address Copyright 3. Submit paper to PMC	Enter a journal name below to see if it uses <u>Submission Method A</u> . These journals make the <u>final p</u> funded articles available in PubMed Central (PMC) no later than 12 months after publication witho start date shown for each journal is the earliest publication date that meets this requirement.	oublished version out author involve	of all NIH- ement. The	
4. Include PMCID in Citations	Search Journal list:			
Identify Submission Method	Go			
Policy Details	Browse Journal list: <u>Show All A B C D E F G H I J K L M N O P O R S T U V W X Y Z</u>			
Training/Communications	If the journal is not listed below, please click <u>here</u> to see if the journal publisher has another method to support compliance with the Public Access Policy.			
Glossary/FAQs	Show NLM TA, pISSN, eISSN		Leaend	
For Sponsored Programs	Method A Journals			
For NIH Employees	Journal title	Start date	End date	
<ul> <li>For NIH Employee Authors</li> </ul>	AAPS PharmSciTech	Mar 2000		
<ul> <li>For NIH Extramural Staff</li> </ul>	Acta Biochimica et Biophysica Sinica	Jan 2009		
(NIH Access Only)	Acta Crystallographica Section A: Foundations of Crystallography	May 2008		
	Acta Crystallographica Section B: Structural Science	Apr 2008		

## 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



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● Journal titles or ISSNs ○ Publisher names

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 Advanced Search Search Reset

Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.

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

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#### \*\*\*

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←Method D

←Method C

(Method C)

Log in

## How to Submit?

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

**Click on** 

"Proceed"

#### Althe Public Access

#### NIH Manuscript Submission System

The NIH Manuscript Submission system allows you to of your peer-reviewed final manuscript for inclusion

#### News & Updates

Sign up with the <u>NIHMS News list</u> to get email notification of significant updates with the system.

NIHMS (NIH Manuscript Submission) system is currently accepting submissions from:

- eRA Commons (for NIH Extramural principal investigators, grantees or applicants)
- NIH Login (for Intramural NIH scientists and staff)
- HHMI Login (for HHMI-funded investigators)

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.).

Log In <u>Proceed</u> to the NIHMS system if you are ready to submit a manuscript.

Grant Lookup Tool | Help & F.A.Q.

istics

numbers.

## Choose a Login Route

# NIH Public Access NIH Manuscript Submission System Login Options The NIH Manuscript Submission allows you to submit an electronic versi PubMed Central. Eligible manuscripts must have been funded by one of the Choose a login route: Route

NIH & eRA Commons	NIH intramural and extramural scientists	
	NOTE: eRA Commons account holders now	
publisher	publishers	
	Howard Hughes Medical Institute investig	
🥗 myNCBI	others	

## 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

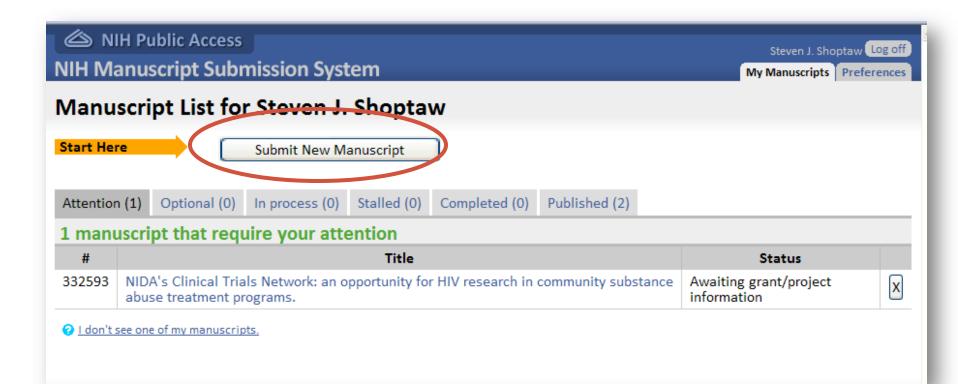
You should use the same login for all subsequent visits.

#### NOTE: Make sure that you use the same login option each time.

responsible for the account.

If you do not have an account, myNCBI allows users to create new accounts; click on the myNCBI route to create one.

## Click on "Submit New Manuscript"



## Click on "Continue"

NIH Public Access

NIH Manuscript Submission System

#### 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.

#### You can find additional help 🔤 info here

#### nces

#### Before you get started

You need to have all of these on hand to send a manuscript to NIH:

journal name

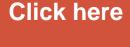
What if my journal is not a PubMed journal?

manuscript title

grant/project numbers

manuscript files

- Which files should Linclude?
- What file types can I use?

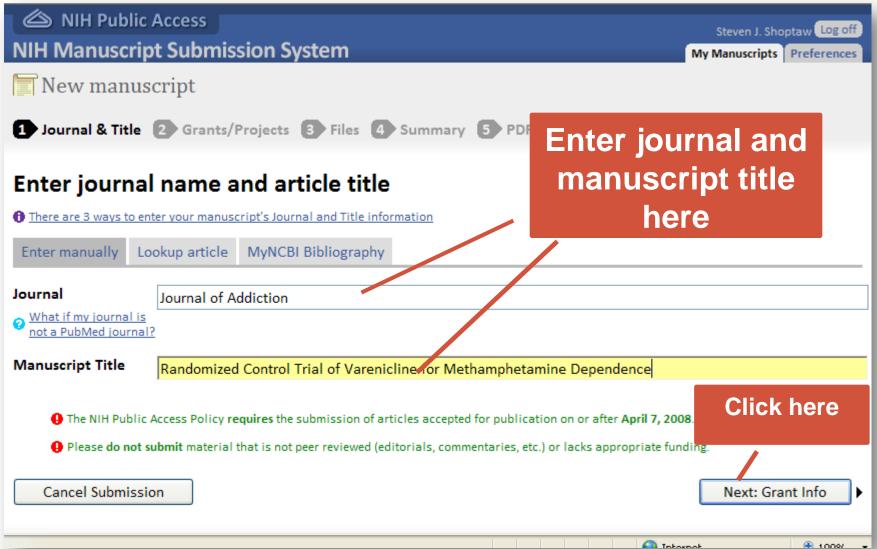


Cancel Submission

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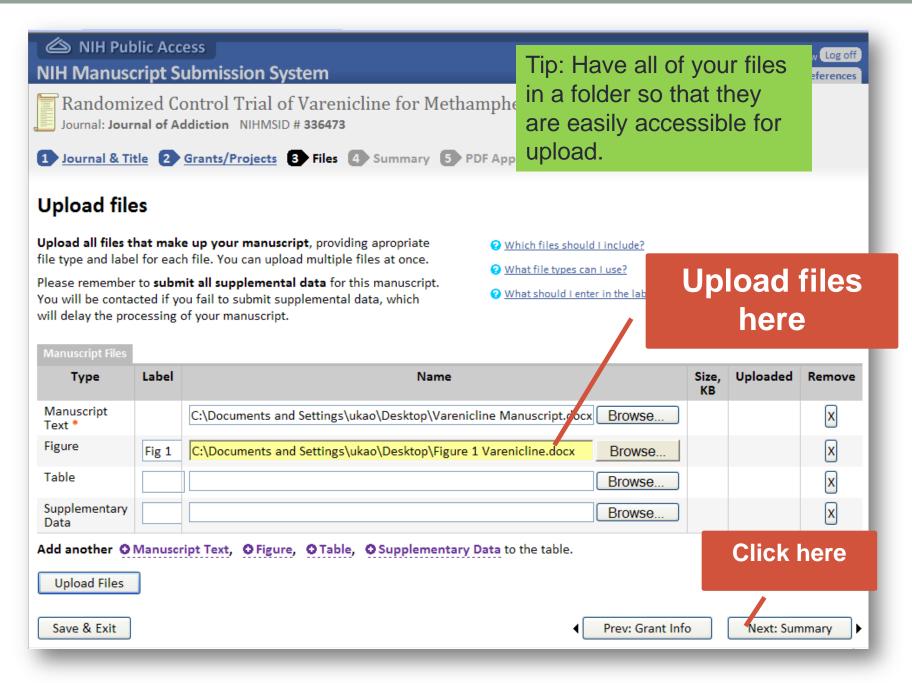
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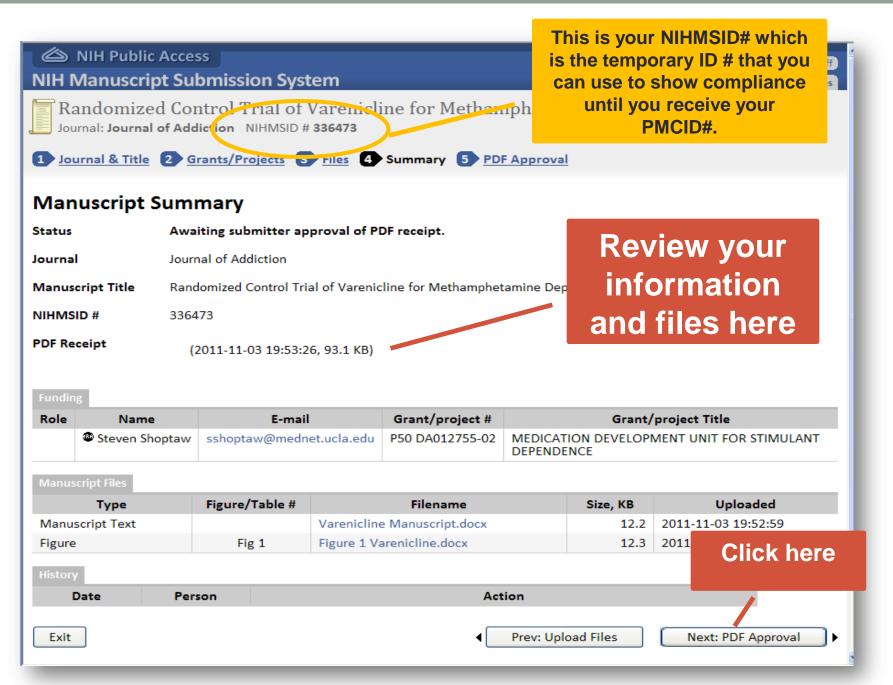
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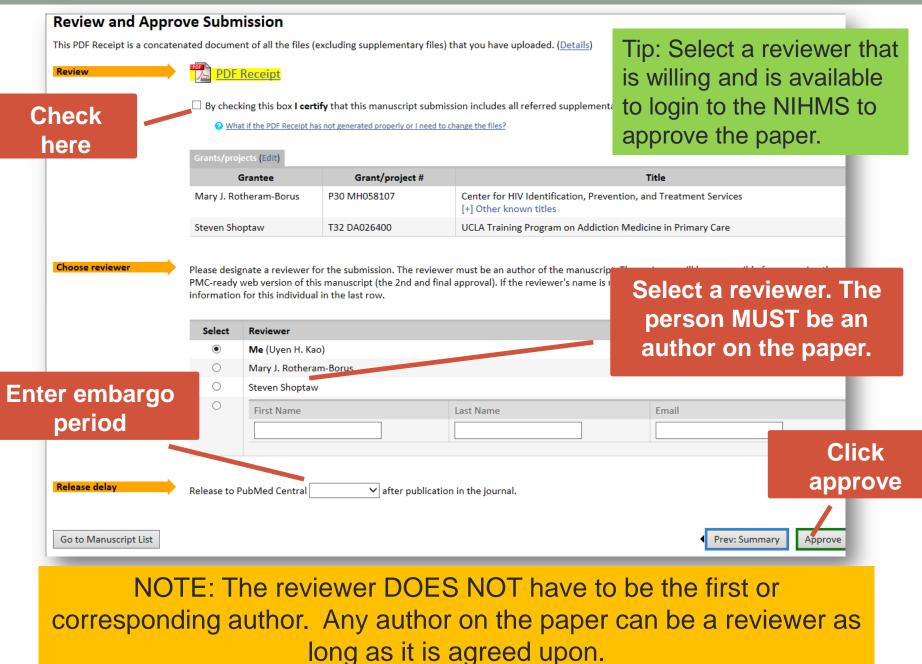
NIH Public Access     NIH Manuscript Submission System		Steven J. Shoptaw Log off My Manuscripts Preferences		
Randomized Control Trial of Varenicline for Journal: Journal of Addiction NIHMSID # 336473	r Methamphetamine Dependence			
1 Journal & Title 2 Grants/Projects 3 Files 4 Summa	ary 5 PDF Approval			
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What if a grant or project that supported this manuscript is not on th     My grant support has multiple years. Which/tow many years should     Search Grants/Projects     First name     Last name		Search		
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Please note that when searching for a grant using the name of a grantee, "First name" can only be used in support of "Last name". Exa     grant number: 'R01 GM012345-03'.				
Save & Exit Cancel Submission	Prev: Manuscript Info	Next: Upload Files		

#### (Method C)



#### (Method C)





## Check your email!

From: nihms-help@ncbi.nlm.nih.gov [mailto:nihms-help@ncb.num.nih.gov] Sent: Monday, January 28, 2013 10:29 AM To: http://www.senter.com/files/fi

"Operational implementation of prospective genotyping for personalized med

[NOTICE: This is an automated message from the NIHMS System. To contact the

Dear

has submitted the following manuscript for publication in Pu

Journal name: Clinical pharmacology and therapeutics Manuscript title:Operational implementation of prospective genotyping for The manuscript ID for this article is NIHMS439295.

Please approve the submitted materials and confirm that it was supported

There are three steps:

1. Access the System - Please click on the following URL to access the NI

http://www.nihms.nih.gov/db/sub.cgi?ticket=746245a9122e03146df3ba6a1f9bb4d

NOTE: If the above link is broken, please copy and paste the entire URL in \*\*You must follow this link to find your manuscript.\*\* This link is a "ti

Ticket Number: 746245a9122e03146df3ba6a1f9bb4e10e336e84

 Log in to the NIHMS System - If you need assistance with this step, the following step-by-step guides will show you how to log into the system:

Extramural Users - http://www.nihms.nih.gov/help/MYNCBI-LOG/MYNCBI-LOG-1.shtml

# NOTE: If the reviewer does not login to approve the uploaded version, the process will be stalled.

riease iet us know ii you nave questions.

After finish your submission, the NIHMS system will send <u>at least 3 emails</u> 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.

## Check your email/

From: <<u>nihms-help@ncbi.nlm.nih.gov</u>> Date: February 22, 2013, 2:24:41 PM CST To: Subject: [nihms] Manuscript #439295: Please review Web version

Dear

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.

The web version of your NIHMS manuscript (NIHMS439295) "Operational implementation of PREDICT project" is now ready for your review.

Please proceed to the NIHMS web site: <u>http://www.nihms.nih.gov/db/sub.cgi</u> to approve the web version of your manuscript. This is necessary to complete your manuscript submission to PubMed Central.

You will be able to (1) approve the manuscript for release to PubMed Central or (2) request that corrections be made to the article. Please note that only errors or omissions that impact the scientific accuracy of your article are eligible for correction.

PLEASE DO NOT REJECT THE WEB VERSION FOR THESE REASONS:

- The figures/tables are "out of order": NIHMS places a figure/table after the first in-text citation of the figure/table, according to PubMed Central style guidelines. If you wish to change the order, please provide corrected text to change the citation order.

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Once approved, your manuscript will be made available in PubMed Central immediately after the final publication of the article. You will be notified when your article is freely available in PubMed Central.

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(Method C)

## Check your email!

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Subject: [nihms] Manuscript #439295: Your Article is available in PMC

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The manuscript NIHMS439295 "Operational implementation of prospective genotypic loaded into PubMed Central and made available for public access:

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The submission process is now complete for this manuscript.

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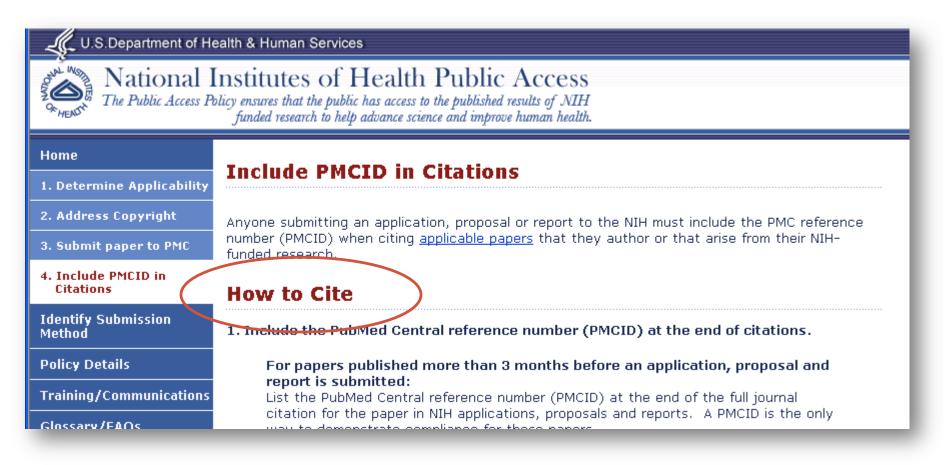
Thank you for using the NIHMS system,

The NIHMS Help Desk

# All of these tasks MUST be completed within 3 months of publication!

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

#### How to Cite PMCID?



#### http://publicaccess.nih.gov/citation\_methods.htm

### How to Locate PMCID?

SNCBI Resources 🛛 How To 🖂	My NCBI Sign In
Publication     PubMed       US National Library of Medicine National Institutes of Health     Limits Advanced	Search Help
Display Settings:     Abstract     Send to:       BMC Public Health.     2010 Dec 20;10:774.	Read free full strat BioMed central In PubMed Central
Contingency management to reduce methamphetamine use and sexual risk among men who have sex with men: a randomized controlled trial. <u>Menza TW, Jameson DR, Hughes JP, Colfax GN, Shoptaw S, Golden MR</u> .	Related citations
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).	Sexual transi [Cochrane Database Syst Rev. 2008] Factors associated with sex in the context of methamphetamine use [BMC Public Health. 2010]
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.	A public health response to the methamphetamine epic [BMC Public Health. 2006] Review Methamphetamine use and infectious disease-related behaviors in mei [Addiction. 2007]
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).	Walking the line: stimulant use during sex and HIV risk behavior among [Drug Alcohol Depend. 2010]
<b>RESULTS:</b> 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, 1.56) 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	See reviews See all
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 tages and use of more than eight quarters of generative during the intervention and post-intervention periods.	Cited by 1 PubMed Central article
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Cerrato A, Parisi M, Santa Anna S, Missirlis F, Guru S, Agarwal S, Sturgill D, Talbot T, Spiegel A, Collins F, Chandrasekharappa S, Marx S, Oliver B. Genetic interactions between Drosophila melanogaster menin and Jun/Fos. Dev Biol. In press. NIHMSID: NIHMS44135

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