

# NATIONAL INSTITUTES OF HEALTH PUBLIC ACCESS POLICY and MyNCBI

*This is a compilation of various notices issued by the National Institutes of Health.*

## Overview

The NIH Public Access Policy ensures that the public has access to the published results of NIH funded research. It requires scientists to submit final peer-reviewed journal manuscripts that arise from any direct NIH funds to the digital archive PubMed Central *upon acceptance for publication*. The Policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication.

eRA Commons has partnered with the National Center for Biotechnology Information (NCBI) in providing a personal online tool called 'MyNCBI'. MyNCBI offers an online portal, 'My Bibliography,' for users to maintain and manage a list of their authored works such as journal articles, manuscripts accepted for publication, books, and other materials.

## Background and History

On July 14, 2004, the U.S. House Appropriations Committee adopted a set of recommendations for the 2005 federal budget. One key recommendation instructed the National Institutes of Health (NIH) to develop a policy requiring free online access to articles based on NIH-funded research after their publication in peer-reviewed journals.

On November 20, 2004, the House-Senate conference committee reaffirmed a version of the House recommendation, and the resulting appropriations bill was approved by both houses of Congress. President Bush signed it on December 8.

The policy took effect on May 2, 2005 and was voluntary from 2005-2008.

As of May 25, 2008, anyone submitting an application, proposal or progress report to the NIH must include the PMC or NIH Manuscript Submission (NIHMS) reference number when citing applicable articles that arise from their NIH funded research.

In 2010, NIH required use of MyNCBI to manage citations in eSNAP progress reports. In 2012, NIH enforced use of MyNCBI with the design of the new Research Performance Progress Report (RPPR).

### **For non-competing continuation grant awards with a start date of July 1, 2013 or beyond:**

- 1) NIH will delay processing of an award if publications arising from it are not in compliance with the NIH public access policy.
- 2) Investigators will need to use MyNCBI to enter papers onto progress reports. Papers can be associated electronically using the RPPR, or included in the PHS 2590 using the MyNCBI generated PDF report.

## 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<sup>1</sup> 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

<sup>1</sup> "Direct funding" means costs that can be specifically identified with a particular project or activity.

Until further notice, papers written in scripts other than Latin (e.g., Russian, Japanese) cannot be processed by the NIHMS. These papers are not required to be posted on PubMed Central and do not require evidence of compliance on applications, proposals or reports. The NIHMS continues to process papers written in Latin (Roman) script that contain characters and fonts used in standard mathematical notation.

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

Applications, Proposals and Reports must include evidence of compliance with the NIH Public Access Policy for all applicable papers that are authored by the Principal Investigator (PI) or arose from the PI's NIH funds.

## **Preparation is Key to Avoiding Delays in Funding. Some suggestions:**

### **eRA Commons**

Users must link an eRA Commons account to a new or existing MyNCBI account which allows references saved in MyBibliography to automatically appear in users' progress reports that are prepared in eRA Commons. Create an account in MyNCBI using your eRA Commons ID, or link your current MyNCBI account with your eRA Commons account.

### **My Bibliography**

Use MyNCBI's My Bibliography feature to monitor Public Access compliance for all the applicable papers that you author or arise from your NIH award. As you plan a paper or support one with your NIH award, discuss with the authors how the paper and the NIH awards that support it will comply with the Public Access Policy.

### **Address Copyright**

Before you sign a publication agreement or similar copyright transfer agreement, make sure that the agreement allows the paper to be posted to PubMed Central (PMC) in accordance with the NIH Public Access Policy.

## Overview of Submission Methods

There are four methods to ensure that an applicable paper is submitted to PubMed Central (PMC) in compliance with the NIH Public Access Policy. Authors may use whichever method is most appropriate for them and consistent with their publishing agreement.

	<u>Method A</u> Journal deposits final published articles in PubMed Central without author involvement	<u>Method B</u> Author asks publisher to deposit specific final published article in PMC	<u>Method C</u> Author deposits final peer-reviewed manuscript in PMC via the NIHMS	<u>Method D</u> Author completes submission of final peer-reviewed manuscript deposited by publisher in the NIHMS
<b>Version of Paper Submitted</b>	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
<b>Task 1: Who starts the deposit process?</b>	Publisher	Publisher	Author or designee, via NIHMS	Publisher
<b>Task 2: Who approves paper for processing?</b>	Publisher	Publisher	Author, via NIHMS	Author, via NIHMS
<b>Task 3: Who approves paper for Pub Med Central display?</b>	Publisher	Publisher	Author, via NIHMS	Author, via NIHMS
<b>Participating journal/publisher</b>	<u>Method A Journals</u>	Make arrangements with these <u>publishers</u>	Check publishing agreement	Make arrangements with these <u>publishers</u>
<b>Who is Responsible?</b>	NIH Awardee	NIH Awardee	NIH Awardee	NIH Awardee
<b>To <u>cite</u> papers, from acceptance for publication to 3 months post publication</b>	PMCID or "PMC Journal- In Process"	PMCID or "PMC Journal- In Process"	PMCID or NIHMSID	PMCID or NIHMSID
<b>To <u>cite</u> papers, 3 months post publication and beyond</b>	PMCID	PMCID	PMCID	PMCID

**Method A: Publish in a journal that deposits *all* final published articles in PubMed Central (PMC) without author involvement.**

Some journals automatically deposit all NIH-funded final published articles in PubMed Central, to be made publicly available within 12 months of publication, without author involvement. See the list of these journals at [http://publicaccess.nih.gov/submit\\_process\\_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm)

**Method B: Make arrangements to have the publisher deposit a *specific* final published article in PubMed Central**

Some publishers will deposit an individual final published article in PubMed Central upon author request, and generally for a fee. See the list of publishers at: [http://publicaccess.nih.gov/select\\_deposit\\_publishers.htm#b](http://publicaccess.nih.gov/select_deposit_publishers.htm#b)

### **Method C: Deposit the final peer-reviewed manuscript in PubMed Central yourself via the NIH Manuscript Submission System (NIHMS).**

Submitting a final peer-reviewed manuscript to PubMed Central (PMC) via the NIHMS involves three tasks. Task 1 may be done by an author or by someone in the author's organization (e.g., an assistant). *Tasks 2 and 3 must be done by the author.*

*A Note on Timing:* NIH awardees are responsible for ensuring that manuscripts are submitted to the NIHMS upon acceptance for publication and that all NIHMS tasks are complete within three months of publication.

#### *Task 1: Deposit Manuscript Files and Link to NIH Funding*

Upload a copy of the accepted final peer-reviewed manuscript and associated files via the NIHMS. At the same time, identify the NIH funding associated with the manuscript. It usually takes less than 10 minutes to complete this task.

#### *Task 2: Authorize NIH to Process the Manuscript*

The author designates the number of months after publication when the manuscript may be made publicly available in PMC (follow the journal's policy, maximum of 12 months post publication date). The author then confirms, via the NIHMS, a statement that the deposit of the manuscript is consistent with any publication and copyright agreements, and that NIH may begin processing the manuscript for use in PMC.

#### *Task 3: Approve the PMC-formatted Manuscript for Public Display*

The NIHMS will convert the deposited files into a standard PMC format, and email the author to approve the PMC-formatted manuscript for public display. The author then reviews and approves the PMC-formatted manuscript via the NIHMS. Corrections to the manuscript, if necessary, may be requested at this time.

#### *Following completion of Task 3:*

- The NIHMS will email the author and all PIs the citation with the PMCID once it is assigned;
- PMC will automatically make the paper publicly available after the designated delay period has expired.

### **Method D: Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited in the NIH Manuscript Submission System (NIHMS).**

In a variation of Method C, some publishers deposit the manuscript files in the NIHMS, provide contact information for a corresponding author, and designate the number of months after publication when the paper may be made publicly available in PMC. See the list of Method D publishers at: [http://publicaccess.nih.gov/select\\_deposit\\_publishers.htm#d](http://publicaccess.nih.gov/select_deposit_publishers.htm#d)

The NIHMS will notify the author when the manuscript files are received from the publisher. At that point, the author must complete all of the tasks outlined for Method C, except for the file deposit part of Task 1 above.

*See Method C, above, for Tasks 1-3*

*Following completion of Task 3:*

- The NIHMS will email the author and all PIs the citation with the PMCID once it is assigned;
- PMC will automatically make the paper publicly available after the designated delay period has expired.

### **Include PMCID in Citation**

PMC will automatically make the paper publicly available after the designated delay period has expired.

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.

### **Resources**

NIH Public Access Policy Details: <http://publicaccess.nih.gov/policy.htm>

RPPR instructions: [http://grants.nih.gov/grants/rppr/rppr\\_instruction\\_guide.pdf](http://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf)