Publication Compliance

NH-INBRE Annual Meeting
August 3, 2014
NIH Public Access Policy

• Since 2008, compliance with The NIH Public Access Policy, which ensures that the public has access to the published results of NIH funded research, has been a requirement and a term and condition of all grant awards and cooperative agreements.

• In 2009 the Omnibus Appropriations Act made the NIH Public Access Policy permanent

• It requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central (PMC) upon acceptance for publication.

• The Policy requires that these papers are accessible to the public on PubMed Central no later that 12 months after publication.
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 My NCBI to enter papers onto progress reports. Papers can be associated electronically using the RPPR, or included in the PHS 2590 using the My NCBI generated PDF report.
• **Address Copyright:**
  - Institutions and Investigators are responsible for ensuring full compliance with the Public Access Policy

• **The 4 ways papers make their way into PMC:**

  **Method A:** Publish in a PMC-participating journal.
  **Method B:** Arrange to have a publisher deposit the final published article in PMC.
  **Method C:** Submit the final peer-reviewed manuscript to the NIHMS.
  **Method D:** A publisher begins the submission process for a manuscript 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](http://publicaccess.nih.gov/citation_methods.htm).
<table>
<thead>
<tr>
<th>Version of Paper Submitted</th>
<th>Method A</th>
<th>Method B</th>
<th>Method C</th>
<th>Method D</th>
</tr>
</thead>
<tbody>
<tr>
<td>Final Published Article</td>
<td>Final Published Article</td>
<td>Final Peer-Reviewed Manuscript</td>
<td>Final Peer-Reviewed Manuscript</td>
<td></td>
</tr>
<tr>
<td>Task 1: Who deposits the paper?</td>
<td>Publisher direct to PMC</td>
<td>Publisher direct to PMC</td>
<td>Author or designee, via NIHMS</td>
<td>Publisher, via NIHMS</td>
</tr>
<tr>
<td>Task 2: Who approves paper for processing?</td>
<td>Not Applicable</td>
<td>Not Applicable</td>
<td>Author, via NIHMS</td>
<td>Author, via NIHMS</td>
</tr>
<tr>
<td>Task 3: Who approves paper for Pub Med Central display?</td>
<td>Not Applicable</td>
<td>Not Applicable</td>
<td>Author, via NIHMS</td>
<td>Author, via NIHMS</td>
</tr>
<tr>
<td>Participating journal/publisher</td>
<td>Method A Journals</td>
<td>Make arrangements with these publishers</td>
<td>Check publishing agreement</td>
<td>Check publishing agreement</td>
</tr>
</tbody>
</table>

Details: [http://publicaccess.nih.gov/submit_process.htm](http://publicaccess.nih.gov/submit_process.htm)
Methods C&D: Manuscript submission to the NIHMS

1. Deposit manuscript files - An NIHMSID is assigned to the submission.
   
   **C** Author or delegate submits final peer reviewed manuscript to the NIHMS.
   
   **D** Journal publisher submits final peer reviewed manuscript to the NIHMS.

2. Author approves PDF receipt, gives permission to NIH to process the manuscript: Methods C and D.

   **C** Author or delegate submits final peer reviewed manuscript to the NIHMS.

   **D** Journal publisher submits final peer reviewed manuscript to the NIHMS.

   **Author Approval**

   NIHMS sends author an email asking author to approve the submitted materials for processing.
3. **Author** approves PMC-formatted manuscript for public display: **Methods C and D**.

- **C** Author or other submits final peer reviewed manuscript to the NIHMS.
- **D** Journal publisher submits final peer reviewed manuscript to the NIHMS.

Author Approval

- NIHMS sends author an email asking author to approve the submitted materials for processing.
- **Author** reviews and approves the PMC-formatted manuscript.

**Manuscript archived in PMC**

*After submission is complete, NIHMS emails the citation with PMCID to author and PIs*
When and How to Comply

Overview:
To advance science and improve human health, NIH makes the peer-reviewed articles it funds publicly available on PubMed Central. The NIH public access policy requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to PubMed Central immediately upon acceptance for publication. [more]

Show me specific instructions for my publication

Public Access Policy Video Training

NIHMS overview  My NCBI overview  My Bibliography overview  Public Access Compliance
Cite Articles Using PMC Numbers (PMCID)

• Cite Paper
  o When citing a paper in NIH applications, proposals, and progress reports, include the PMCID at the end of the full citation.
  o 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.
  o For more information see http://publicaccess.nih.gov/citation_methods.htm.

  o Example

    PMCID: PMC243493
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

*From NIH Training Webinar 1/15/13*
What is 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
• Creates the publications section (Section E) of PHS 2590s
• Other time savers: Delegation, options to share and publish bibliographies, automate searches, etc.
• Use of My NCBI will be required to report papers, when electronically submitting progress reports using the Research Performance Progress Report (RPPR)
Results: 1 to 20 of 404989

1. Dietary carotenoid-rich pequi oil reduces plasma lipid peroxidation and DNA damage in runners and evidence for an association with MnSOD genetic variant -Val9Ala.
   Miranda-Vilela AL, Akimoto AK, Alves PC, Pereira LC, Gonçalves CA, Klautau-Guimarães MN, Grisolla CK.
   PMID: 20082261 [PubMed - as supplied by publisher]

2. Predictors of 3-Year Mortality in Subjects over 95 Years of Age. The NonaSantelfiu Study.
   Formiga F, Ferrer A, Montero A, Chivite D, Pujol R.
   PMID: 20082056 [PubMed - as supplied by publisher]

Also try:
- dog cat
- cat scratch disease
- lymphoma cat
- cat eye
- carcinoma cat
Signing in to My NCBI

Sign in to NCBI

Sign in with

Google  NIH Login

eRA Commons users should sign in via the NIH Login

See more 3rd party sign in options

OR

Sign in directly to NCBI

NCBI Username

Password

Keep me signed in

Sign In

Forgot NCBI username or password?

Register for an NCBI account

My NCBI retains user information and database preferences to provide customized services for many NCBI databases.

My NCBI features include:

- Save searches & automatic e-mail alerts
- Display format preferences
- Filter options
- My Bibliography & NIH public access policy compliance
- Highlighting search terms
- Recent activity searches & records for 6 months
- LinkOut, document delivery service & outside tool selections

NIH funded investigator?

Extramural NIH-funded investigators looking for NIH Public Access Compliance tools should sign in using the "NIH Login" button. Use your eRA Commons credentials on the subsequent sign in page. Once signed in, navigate to the My Bibliography section.

Documentation for using these features is located in the Managing Compliance to the NIH Public Access Policy section of the NCBI Help Manual.


Account Troubleshooting FAQ

Expired email confirmation link message
Multiple My NCBI accounts
Link eRA Commons, University, or other account to your NCBI account
Which eRA users should have linked My Bibliography accounts?

- Principal Investigators
- Anyone else with NIH support who is or was an author
  - Post-Doctoral Role
  - Graduate Student Role
  - Scientist Role
  - Project Personnel Role

http://era.nih.gov/files/eRA_Commons_Roles.pdf
Adding PubMed Citations

1. Predicting microRNA modulation in human prostate IDentity (SiD1.0).
   PMID: 21334455 [PubMed - as supplied by publisher]
   Related citations

   Leung BM, Wiens KP, Kaplan BJ.
   BMC Pregnancy Childbirth. 2011 Feb 3;11:12.
   Free full text  Related citations
NIH Public Access View

My NCBI — My Bibliography

Display Settings: List view, Sort by date, group by citation type

- View:
  - List
  - Print
  - Award

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

- Grouping:
  - None
  - By citation type
  - Award

Apply
Award View NIHPA compliance codes

N/A NIH Public Access Compliance: Not applicable [Edit Status]
Funding: No funding has been associated with this citation. Add award

NIH Public Access Compliance: Complete. PMCID: PMC3755124
NIH Funding:
R01 CA126642 - Probing Tumor Microenvironment Using Nanotechnology
Add or delete award

NIH Public Access Compliance: In process at NIHMS. [Edit Status] NIHMS ID: NIHMS9543
NIH Funding:
R01 CA085140-06 - Integrative Biology of Tumor Metastasis
Add or delete award

NIH Public Access Compliance: Non-compliant. No PMCID 3 months post publication. [Edit Status]
Funding: No funding has been associated with this citation. Add award

NIH Public Access Compliance: Edit Status
Funding: No funding has been associated with this citation. Add award
Delegation in My Bibliography

- Delegation feature allows assigning users to manage specific citations.
- Users can edit and remove delegates.

From NIH Training Webinar 6/26/14
PI adds a new citation to their My Bibliography

Journal Articles


Public Access Compliance: Edit Status
NIH Funding: No funding has been associated with this citation.
Add award

Did the NIH support this citation, in whole or in part?
- Yes
- No

The NIH Public Access Policy requires scientists to submit final, peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. (See Determine Applicability for full details.) Please submit the final manuscript sent to your publisher or indicate that this publication is exempt from the policy.

We do not have a record of this citation in NIH Manuscript Submission system (NIHMS). Please choose from the following:

- Begin submission in the NIHMS.
- This citation has been submitted. NIHMS ID: __________
- Arrangements have been made for a publisher on this list to send the final article directly to PubMed Central. (Method B)
- This citation does not need to be submitted under NIH Public Access because:
  - Publication was not peer reviewed.
  - Publication was accepted for publication before April 7, 2008.
  - Publication was written in a script other than Latin (e.g., Russian, Japanese).
  - Publication was not directly supported by NIH funds active in FY08 or beyond.

Save & Close

From NIH Training Webinar 6/26/14
## Display on RPPR

**NIH Manuscript Submission System Status:** Available

### C.1 Publications

Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph) during the reporting period resulting directly from this award?  
- [ ] Yes  
- [x] No

If yes, select from the table below to affiliate publications with this progress report.  
If you need to login to My NCBI account please use this link: My NCBI [Login].

Nothing found to display.

**All publications associated with this project in My NCBI**

No items found.

**NIH Public Access Compliance Citation**

**Publications not associated with this project in My NCBI**

9 items found, displaying all items.

<table>
<thead>
<tr>
<th>Associate with this RPPR</th>
<th>NIH Public Access Compliance</th>
<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>□</td>
<td>Complete</td>
<td>Acher SA, Hermes SM, Whitaker KL, Hegarty DM. Descending projections from the rostral ventromedial medulla (RVM) to trigeminal and spinal dorsal horns are morphologically and neurochemically distinct. J Chem Neuroanat. 2011 Nov 20; PubMed PMID: 22119519; PubMed Central PMCID: PMC3319838.</td>
</tr>
</tbody>
</table>

**Sort Table Above By**  
- [ ] Date Of Publication  
- [x] Ascending  

Then By  
- [ ] Author  
- [ ] Ascending  
- [ ] Descending  
- [ ] Ascending  
- [ ] Descending

From NIH Training Webinar 6/26/14
## Publications Reported for this Reporting Period

<table>
<thead>
<tr>
<th>NIH Public Access Compliance</th>
<th>Citation</th>
</tr>
</thead>
</table>
How My NCBI Reduces PI Workload

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

• **Year round management**

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

• **Delegation**

*From NIH Training Webinar 1/15/13*
Public Access Compliance Monitor

• Database of articles, including current compliance status, that are associated with an institution’s (IPF) grants and fall under the NIH Public Access Policy

PACR Role
• Assigned by administrator authorized to assign roles in eRA Commons
• Gives user access to PACM to run compliance reports for institution

SITE:  http://www.pubmedcentral.nih.gov/utils/pacm/
Log in with your NIH Commons User ID and password

BENEFITS
• Quick summary of institution’s compliance rate
• Download reports on non-compliant publications
• Locate associated IDs for a citation
• Track progress of papers in NIHMS
• View status changes made in My NCBI, e.g., if a citation is marked as not applicable
Ways institutions can ensure compliance

Do you have a plan that can withstand

- Miscommunication among authors, and between publishers and authors?
- Forgetfulness?

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
- Determine their compliance plan as they write their papers

Training
  – Policy awareness, submitting papers, preparing citations

Author Support
  – Submitting manuscripts
  – Answering questions
  – Sending out reminders for reports early
  – Means to ensure collaborators do not prevent compliance

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
Useful Links

About the Public Access Policy
- http://publicaccess.nih.gov/
- For Sponsored Programs:
  http://publicaccess.nih.gov/sponsored.htm
- Training materials for PIs and other communications:
  http://publicaccess.nih.gov/communications.htm
- Questions: PublicAccess@NIH.GOV

The NIH Manuscript Submission System
• http://www.nihms.nih.gov/

NCBI

My NCBI Help
• http://www.ncbi.nlm.nih.gov/books/NBK3842/pdf/MyNCBI.pdf
Questions??

Heather Arnold – Sponsored Projects
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