



NIH Public Access Policy

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NIH Policy Training

- Overview of policy
- Three steps for compliance
- Submission of author's manuscript
 - Submitting your own
 - Third-party submission
 - Using the Library & Archives' service
- Questions/concerns



The Policy

The U.S. Congress passed the Consolidated Appropriations Act 2008, PL-110-161. In Division G, Title II Section 218 of the law it states:

SEC. 218. 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:** Provided, That the NIH shall implement the public access policy **in a manner consistent with copyright law.**

This statutory requirement becomes effective April 7, 2008.



"All Investigators Funded by NIH"

- Directly or indirectly resulting from NIH funded research or contract
- Supported whole or in part with direct costs
 - Research grant and cooperative agreements – active FY08
 - Contracts – signed on or after April 7,2008
 - Career development awards
 - All Kirschstein National Research Service awards
 - Intramural grants
 - If NIH pays your salary; you are an NIH employee
 - Sub awards
- Original primary research



Final Peer-reviewed Manuscripts

- Submit to PubMed Central
- Electronic version
- Upon acceptance for publication
- Effective on and after [April 7, 2008](#)
- All peer-reviewed journal articles
 - Whether or not in MEDLINE/PUBMED



Manuscript vs. Published Article

- Final peer-reviewed manuscript
 - Investigator's final manuscript
 - Of peer-reviewed article accepted for publication
 - With all modifications from peer-review
- Final published article
 - Journal's authoritative copy
 - All peer-review modifications PLUS
 - Copyediting, stylistic editing, formatting



Does Not Apply To

- Books
- Book chapters
- Editorials or correspondence
- Non-peer-reviewed articles
- Articles in trade magazines
- Abstracts or proceedings
- Multimedia or other type of publications



Applies To

- Currently funded research
- Manuscripts accepted for publication
- ON or AFTER April 7, 2008
- Previous research?
 - Not required if accepted before April 7
 - Funding expired before FY 2008
 - May submit if accepted on or after May 2, 2005
 - IF have publishers permission



Delay or Embargo Period

..to be made publicly available no later than 12 months after the official date of publication

- Submit upon acceptance
- Public after delay period determined by publisher
- Many have 6 -12 month embargo periods
- NIH would prefer less than 12-month
- Determined when sign publisher agreement



Copyright

..in a manner consistent with copyright law.

- Author must have rights to submit
- Publisher must grant those rights
- Agreement at time of acceptance sets up those rights



Three Steps for Compliance

1. Copyright agreement with publisher
2. Submission of final peer-reviewed manuscript – Effective April 7, 2008
3. Inclusion of PMCID numbers in proposals and reports



Step 1 -- Copyright

- Send Duke letter with manuscript
- Review contract/agreement BEFORE signing
- Ask Scholarly Communications Officer – Kevin Smith to review
- If unsure, add phrase and attach added terms document



Ensuring Rights to Submit

- If unsure of agreement terms
- Above signature line add:
 - “Subject to the attached additional term re:
NIH deposit”
- Attach the additional term wording form
 - Along with your signature and date
 - Signature line and date for publisher



Additional Term

ADDITIONAL TERM TO CONFIRM NIH PUBLIC ACCESS DEPOSIT

The 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 the Journal.

Author _____ Date _____

Publisher _____ Date _____



Journal/Publisher Compliance

- See NIH list of journals
 - Comply and submit manuscript
 - BUT, only 400+ journals
 - http://publicaccess.nih.gov/submit_process_journals.htm
- Open access journals
- Visit journal Website for policies
- Contact Medical Center Library



Step 2: Submission

- Final Peer-Reviewed Manuscript
 - Accepted for publication
 - All modifications from peer-review
 - All figures, images, etc.
 - Supplemental materials if submitted with manuscript
- Most file types
 - MS Word, WordPerfect, PDF, PowerPoint, Excel, High resolution images
- NOT the published PDF version
 - Requires publisher permission



3 Ways to Submit to NIH

1. Author submission
 - PI or co-author/investigator
 - EASIEST way to submit
2. Third-party submission
 - Some else in department/lab
3. Medical Center Library & Archives
 - Acts as third-party submitter
 - Use Library service at:
<http://www.mclibrary.duke.edu/nihpolicy>



Publisher Submissions

- NIH list of journals that submit
 - Already in PubMed Central
 - Article deposited when published
 - Limited number of journals
- Other publishers will submit without a fee – e.g. Elsevier
- Some charge a fee
 - e.g. Springer \$3,000
 - Not necessary to pay this! **Self-submission is free and easy!!!**



PI/Author Submission

- Log into eRA Commons
- Use NIH Manuscript Submission (NIHMS) System
 - Type in journal and manuscript title
 - Put in PI name
 - Attach grant numbers
 - Upload files
- **Must approve submission**
 - **Set delay/embargo period**
- **AND PI must approve Web version of manuscript BEFORE SUBMISSION IS FINAL**



PI Acknowledges / Confirms

- Grant compliance – supported whole or in part by NIH
- Public Release date – delay period after article is published
- Copyright compliance – agreement with publisher permits submission
- Content – peer-reviewed and includes all modifications



Third-Party Submission

- Someone else in department, lab, etc.
- Obtains My NCBI account – easy to do
- Provide 3rd party with the following:
 - Journal name and manuscript title
 - PI name and associated grant numbers
 - ALL files
- PI sent and **MUST** approve notification of submission
- PI must approve final Web version



MCL&A System

- Library serves as 3rd party
- Provide library with:
 - Journal name and manuscript title
 - PI name and associated grant numbers
 - ALL files
- PI sent and **MUST** approve notification of submission and set delay period
- PI must approve final Web version



Library Service

- Notify by email of submission
- Provide PDF receipt with submission number
- Keep files and receipts in protected repository until appears in PubMed Central
- EASIEST METHOD – submit your own manuscripts directly to NIH



Step 3: Cite PMCID Numbers

- Effective May 25, 2008
- Cite PubMed Central reference numbers
 - At end of regular citation format
- Include PMCID numbers with your citations in:
 - New proposals
 - Renewals
 - Progress reports
- If not available, include NIHMS ID
- If on NIH PMC journal list – “PMC Journal in Process”



Cite PMCID NOT PMID

- PMCID – numbers in PubMed Central
- PMID – numbers in PubMed
- NOT the same!!!
- NOW both are available in PubMed
- Posted when article successfully submitted to PMC.
 - If not yet publicly available, will list date it will become available.
- Ask the Library for assistance



Examples of Citations

- Cerrato, A., et al., Genetic interactions between *Drosophila melanogaster* menin and Jun/Fos. *Dev Biol.* 2006 Oct 1; 298(1): 59-70. **NIHMSID: NIHMS44135**
- Cerrato, A., et al., Genetic interactions between *Drosophila melanogaster* menin and Jun/Fos. *Dev Biol.* 2006 Oct 1; 298(1): 59-70. **PMCID: PMC2291284**
- Sala-Torra, O., et al., Connective tissue growth factor (CTGF) expression and outcome in adult patients with acute lymphoblastic leukemia. *Blood.* 2007 April 1; 109(7): 3080–3083. **PMCID: PMC Journal - In Process**



When to Include PMCID

- Papers authored by you
- Papers arising from your NIH funds
 - Even if you are not a co-author

1: [Subst Use Misuse](#). 2008;43(1):27-54.

[Related Articles, Links](#)



get it Duke

Recovery capital as prospective predictor of sustained recovery, life satisfaction, and stress among former poly-substance users.

[Laudet AB](#), [White WL](#).

Center for the Study of Addictions and Recovery (C-STAR), National Development and Research Institutes Inc., 71 West 23rd Street, New York, NY 10010, USA. laudet@ndri.org

Many recovering persons report quitting their drug use because they are "sick and tired" of the drug life. Recovery is the path to a better life, but that path is often challenging and stressful. There has been little research on the millions of recovering persons in the United States, and most research has focused on substance use outcomes rather than on broader functioning domains. This study builds on our previous cross-sectional findings that recovery capital (social supports, spirituality, religiousness, life meaning, and 12-step affiliation) enhances the ability to cope with stress and enhances life satisfaction. This study (a) tests the hypothesis that higher levels of recovery capital prospectively predict sustained recovery, higher quality of life, and lower stress one year later, and (b) examines the differential effects of recovery capital on outcomes across the stages of recovery. Recovering persons (N = 312), mostly inner-city ethnic minority members whose primary substance had been crack or heroin, were interviewed twice at a one-year interval in New York City between April 2003 and April 2005. Participants were classified into one of four baseline recovery stages: under 6 months, 6-18 months, 18-36 months, and over 3 years. Multiple regression findings generally supported the central hypothesis and suggested that different domains of recovery capital were salient at different recovery stages. The study's limitations are noted and implications of findings for clinical practice and for future research are discussed, including the need for a theoretical framework to elucidate the recovery process.

Publication Types:

- [Research Support, N.I.H., Extramural](#)
- [Research Support, Non-U.S. Gov't](#)

PMID: 18189204 [PubMed - indexed for MEDLINE]

PMCID: PMC2211734



Who is Responsible?

- PI and Institution are responsible for ensuring terms and conditions of award are met
- Includes submission, even if they are NOT an author or co-author



Results of Non-compliance

- *"Compliance with the NIH Public Access Policy is not a factor in the scientific and technical merit evaluation of grant applications. Non-compliance will be addressed administratively, and may delay or prevent awarding of funds."*
- From the NIH Public Access Policy FAQ:
<http://publicaccess.nih.gov/FAQ.htm#b9>



More on Non-compliance

- A grantee's failure to comply with the terms and conditions of award may **cause NIH to take one or more enforcement actions**, depending on the severity and duration of the non-compliance. NIH will undertake any such action **in accordance with applicable statutes, regulations, and policies**. NIH generally will afford **the grantee an opportunity to correct the deficiencies** before taking enforcement action unless public health or welfare concerns require immediate action. However, even if a grantee is taking corrective action, **NIH may take proactive action to protect the Federal government's interests, including placing special conditions on awards or precluding the grantee from obtaining future awards for a specified period**, or may take action designed to prevent future non-compliance, such as closer monitoring. See Enforcement Actions in the NIH Grants Policy Statement (11/03): http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPs_Part8.htm#Toc54600145



Duke Resources

- Duke NIH policy Website
 - <http://www.mclibrary.duke.edu/nihpolicy>
- Onsite presentations
- Training sessions
- Consultation/advice from Library
- Review of contracts – Kevin L. Smith,
kevin.l.smith@duke.edu, 668-4451
- Library assistance with publisher policies