

Paul Levett, MSc, MA Ed. Reference and Instruction Librarian Himmelfarb Health Sciences Library, The George Washington University School of Medicine and Health Sciences, Washington, DC

Introduction

Recognizing the consequences of non-compliance with the NIH Public Access Policy (NIHPAP), Himmelfarb Health Sciences Library worked to identify NIHPAP non-compliant papers by GW faculty authors and help Principal Investigators (PI's) and their delegates get them into PubMed Central (PMC).

Methods

- Worked with the Office of the Vice-President for Research (OVPR) to:
- Refer to the library faculty who needed assistance with NIHPAP compliance.
- Have OVPR email every GW Associate Dean for Research about the issue.
- Add NIHPAP to the compliance checklist for OVPR kick-off meetings with Pl's.
- Request an NIH eRA Commons account with PACR role permissions for a librarian to be able to access the Public Access Compliance Monitor (PACM) database.
- Used a Medline alert to trigger an email to GW faculty author's with NIH funding, recording the name & date sent on a spreadsheet to create a paper trail in case of an NIH audit.
- Created NIHPAP compliance libguide http://libguides.gwumc.edu/NIHcompliance.
- Set up a shared email account & schedule for daily monitoring by a librarian.
- Presentations/office visits to the GW Biostatistics Center (prolific co-authors), and the CTSI steering committee at Children's National Medical Center with >700 GW-affiliated researchers.
- Identified "multiple offenders" with the largest number of post-April 2008 non-compliant papers using the PACM database – we targeted compliance efforts on those Pl's.
- Prior to an office visit we used the Sherpa/Romeo Directory to identify those papers a publisher can/will upload on request & made the request on behalf of the PI.

School of Medicine & Health Sciences

THE GEORGE WASHINGTON UNIVERSITY

Helping Principal Investigators Comply with the NIH Public Access Policy

Results

- During the first 4 months after the PACM database became available we improved GW's compliance rate from 73% (194) to 92% (67). For comparison the average institutional compliance rate is estimated to be in the low-mid 80's% (source Neil Thakur, NIH, 8/19/14).
- 10% of non-compliant Pl's were responsible for half of the non-compliant papers.
- Pl's proactively contacted OVPR/the Library when advised by NIH their grant renewal would be held up until they came into compliance with NIHPAP.
- Pl's who were <u>not</u> facing NIH grant renewal responded more positively when contacted by a personal office visit from a librarian instead of email.
- PI delegates who were departmental secretaries were hesitant to monitor faculty publications until they received My NCBI bibliography training from a librarian and assurance of ongoing advice/support.
- PI's were generally hostile to the notion of paying publishers an additional Open Access fee (Submission Method B) to upload papers to PubMed Central.

Improvement in NIHPAP compliance over a 4-month period in 2013 due to librarian efforts						
73%	83% Average	(92% 67 papers) GW May			

Institutiona

Compliance

papers)

GW Feb '13

Conclusions

- Your first priority should be to help those Pl's who face imminent NIH grant renewal.
- Work with your institution's research compliance staff. • Use the PACM database to identify "multiple offenders".
- Use the Sherpa/Romeo database to identify and contact publishers prior to your office visit with the PI. Where possible arrange to have some papers uploaded to the NIH Manuscript Submission system (NIHMS) for the PI to login and approve the deposit so they can see immediate progress.
- Encourage Pl's to log into My NCBI with their eRA Commons login – they will have been assigned by default a My NCBI account ending @eracommons and the bibliography should list noncompliant papers that show up on their Research Performance Progress Report (RPPR) or Continuation Progress Report (PHS 2590).
- Encourage PI's to use their own departmental staff to delegate ongoing monitoring of their My NCBI bibliography, and be prepared to train delegates on how to add publications to a My NCBI bibliography and associate grant funding with them.
- Publishers may prove to be cooperative or uncooperative – Submission Method D publishers may be very particular about who handles the deposit e.g. Taylor & Francis insist only they may upload articles to the NIHMS, while Elsevier refused to upload a book chapter to the NIHMS because it was published in a series book - the NIH position is that if it is indexed in Medline, and has a journal impact factor, book series are considered "journals" subject to NIHPAP. • Some papers will remain noncompliant in the PACM database when faculty move institution or have died. • Advocate use of the SPARC addendum to retain copyright but expect pushback from both young faculty authors who are concerned about getting accepted/published or older faculty who are journal editors themselves.



Useful resources

• NIH training & advice Website <u>http://publicaccess.nih.gov</u> Email <u>PublicAccess@nih.gov</u>

• Public Access Compliance Monitor (PACM) database http://www.pubmedcentral.nih.gov/utils/pacm

• Sherpa/Romeo database <u>http://www.sherpa.ac.uk/romeo</u>

• Libguides community, search for NIH Public Access Policy http://libguides.com/community.php

• SPARC addendum http://www.sparc.arl.org/resources/authors/addendum

• AAHSL-NIHcompliance listserv Ask your library director to email office@aahsl.org to request you be added to the listserv

• Your institution's Office for Research

Publishers

Himmelfarb Health Sciences Library				
Health Sciences Library / Research Guides / NIH Public Access Policy Compliance / Mana	je Compliance			
olic Access Policy Compliance: Manage Compliance		Enter Keywords	Search	
Manage Compliance My NCBI - NIH Manuscript Submission System -	Compliance Monitor FAQ & Help Ho	ow to retain your copyright		
journal do this for me?	Status Codes			
rnals, designated as "Method A" journals by the NIH, will submit the final published version de on behalf of authors through the NIHMS. You will still need to review and approve the text can be deposited into the PubMed Central archive, and the NIHMS will contact you by email als not on the Method A list, check the alternative deposit method publisher list: Nethod B" journal publishers will deposit the final version into PubMed Central for a fee rpically several thousands of dollars), you will still need to review and approve the article in HMS, and the NIHMS will contact you by email to do so. Nethod D" publishers will simply deposit the text of the peer-reviewed manuscript into the HMS but then it is up to the authors or PI to associate the text with your award using NIHMS eRA Commons (see further down this page), as well as review and approve the article. nally there is a "Method C" where an author or their delegate should do it all - submit the text to the NIHMS, associate with your award, review and approve the text. Himmelfarb brarians can help GW authors with the Method C submission process, please email e text of the peer reviewed manuscript and the associated NIH award number to Haccess@gwu.edu.	An article can have one of the following statuses. Public Access Compliance: Non-compliant. No PMCID 3 months post publication. NIHMS D: NIHMS70841 NIH Funding: No funding has been associated with this citation. Public Access Compliance: PMC Journal – In Process NIH Funding: No funding has been associated with this citation. Public Access Compliance: Complete. PMCID: PMC2632597 NIH Funding: No funding has been associated with this citation. NMA Public Access Compliance: Not applicable NIH Funding: No funding has been associated with this citation. Public Access Compliance: Not applicable NIH Funding: No funding has been associated with this citation.			
Compliance thru My Bibliography Instructions for Managing Compliance to the NIH Public Access Policy are provided by NIH. Include: Intecking your Publications Compliance Status Itiating the Compliance Process	Basic applicability	s (which could be an 'Edit Status', an NIHMS e following box will open.	D number,	

Himmelfarb Library NIHPAP Compliance Libguide http://libguides.gwumc.edu/NIHcompliance

smhs.gwu.edu