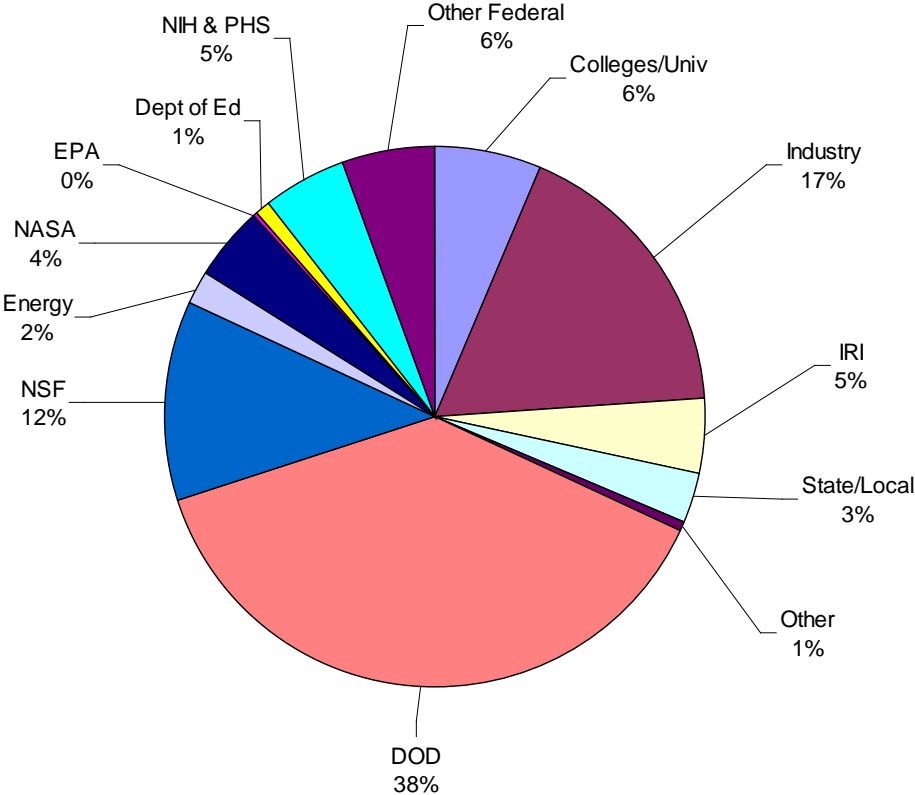


Complying with the NIH Public Access Policy: Depositing manuscripts in PubMed Central

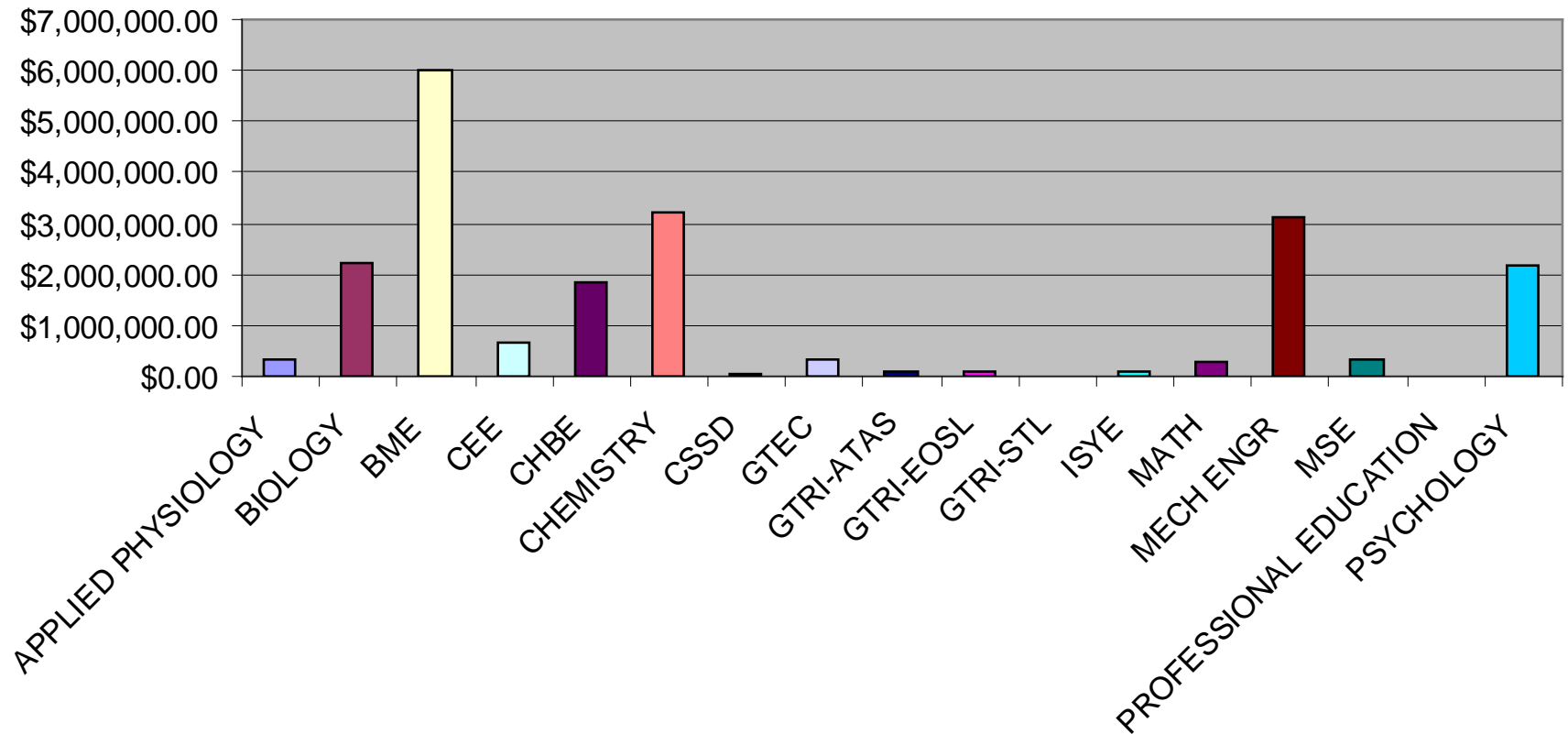
Julie Speer, Lori Critz, Michelle Powell

Office of Organizational Development Brown Bag
7/11/2008

Georgia Tech Sources of Awards for FY2008



NIH Total Award Amount by Department



NIH Policy History

- History

- July 14, 2004 **Congress instructed NIH** to develop a policy requiring free online access to articles arising from NIH sponsored research.
- May 2, 2005 NIH funded **researchers are requested** to submit an electronic version of the author's final manuscript upon acceptance for publication
- February 2006, Progress report sent to Congress. Reporting **compliance with the Public Access Policy was below 4%**
- April 7, 2008, the effective date **NIH makes its voluntary policy mandatory.**

- URL: http://www.arl.org/sparc/bm%7Edoc/NIH_Copyright_v1.pdf

NIH Public Access Policy

“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.”

<http://publicaccess.nih.gov/FAO.htm#a1>

What does it apply to?

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 from an NIH grant or cooperative agreement active in Fiscal Year 2008, 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.

Overview - How to Comply

- Retain rights
 - Know your publisher, notify your publisher, amend your copyright agreement
- Deposit
 - Publisher, Principal Investigator (PI), Non-PI
- Include PMCID in citations
 - Locate PMCIDs, create compliant citations

Retaining Rights

- **Check** your publisher's copyright policies on self-archiving
- **Read** through your copyright transfer agreement carefully
- **Notify** your publisher you must comply with the policy in a cover letter submitted with your manuscript
- **Amend** your copyright transfer agreement, if necessary

Retaining Rights

- Some publishers require full transfer of copyright **during** the manuscript submission process.
- Some require full transfer of copyright **after acceptance**.
- Some have copyright agreements that support self-archiving, but with **conditions** or **restrictions**.

Publisher Copyright Policies

- SHERPA/RoMEO database of publisher copyright policies on self-archiving
 - <http://www.sherpa.ac.uk/romeo.php>
- List of publisher policies on NIH compliance
 - [http://oad.simmons.edu/oadwiki/Publisher_policies on NIH-funded authors](http://oad.simmons.edu/oadwiki/Publisher_policies_on_NIH-funded_authors)

Suggested Cover Letter

- Georgia Tech Library suggests sending the following [cover letter](#) to publishers with your manuscript submission

(from the Joint SPARC, SCIENCE COMMONS, ARL White Paper, “Complying with the National Institutes of Health Public Access Policy” by Michael W. Carroll, February 2008.)

Amending Copyright Agreements

- NIH suggested language –
 - “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.”

<http://publicaccess.nih.gov/FAQ.htm#c3>

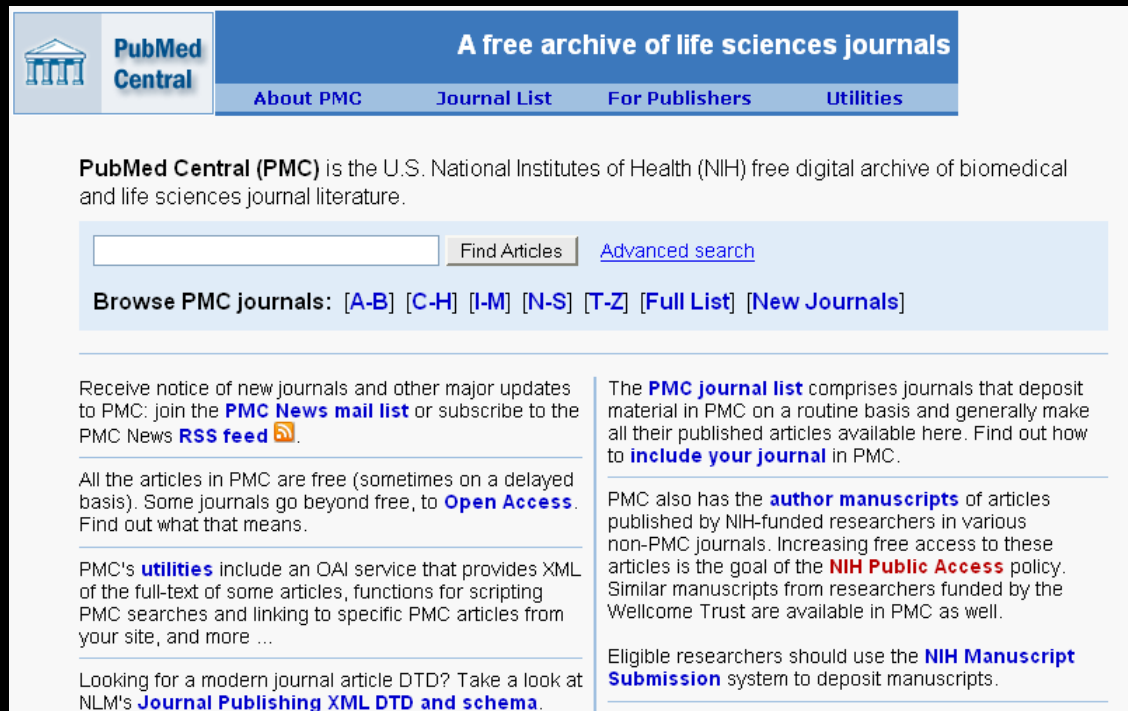
Amending Copyright Agreements

- Science Commons / SPARC Author Addendum - Access-Reuse

3. This Addendum and the Publication Agreement, taken together, allocate all rights under copyright with respect to all versions of the Article. The parties agree that wherever there is any conflict between this Addendum and the Publication Agreement, the provisions of this Addendum are paramount and the Publication Agreement shall be construed accordingly.
4. **Author's Retention of Rights.** Notwithstanding any terms in the Publication Agreement to the contrary, AUTHOR and PUBLISHER agree that in addition to any rights under copyright retained by Author in the Publication Agreement, Author retains: (i) the rights to reproduce, to distribute, to publicly perform, and to publicly display the Article in any medium for non-commercial purposes; (ii) the right to prepare derivative works from the Article; and (iii) the right to authorize others to make any non-commercial use of the Article so long as Author receives credit as author and the journal in which the Article has been published is cited as the source of first publication of the Article. For example, Author may make and distribute copies in the course of teaching and research and may post the Article on personal or institutional Web sites and in other open-access digital repositories.
5. **Publisher's Additional Commitments.** Publisher agrees to provide to Author within 14 days of first publication and at no charge an electronic copy of the published Article in a format, such as the Portable Document Format (.pdf), that preserves final page layout, formatting, and content. No technical restriction, such as security settings, will be imposed to prevent copying or printing of the document.
6. **Acknowledgment of Prior License Grants.** In addition, where applicable and without limiting the retention of rights above, Publisher acknowledges that Author's assignment of copyright or Author's grant of exclusive rights in the Publication Agreement is subject to Author's prior grant of a non-exclusive copyright license to Author's employing institution and/or to a funding entity that financially supported the research reflected in the Article as part of an agreement between Author or Author's employing institution and such funding entity, such as an agency of the United States government.
7. For record keeping purposes, Author requests that Publisher sign a copy of this Addendum and return it to Author. However, if Publisher publishes the Article in the journal or in any other form without signing a copy of this Addendum, such publication manifests Publisher's assent to the terms of this Addendum.

Deposit

- PubMed Central



The screenshot shows the PubMed Central website. At the top left is the PubMed Central logo, which includes a classical building icon and the text 'PubMed Central'. To the right of the logo is a blue navigation bar with the text 'A free archive of life sciences journals' and four links: 'About PMC', 'Journal List', 'For Publishers', and 'Utilities'. Below the navigation bar is a main content area. It starts with a paragraph: 'PubMed Central (PMC) is the U.S. National Institutes of Health (NIH) free digital archive of biomedical and life sciences journal literature.' Below this is a search bar with a 'Find Articles' button and a link to 'Advanced search'. Underneath the search bar is a section for browsing journals with links: '[A-B] [C-H] [I-M] [N-S] [T-Z] [Full List] [New Journals]'. The main content area is divided into four columns of text. The first column discusses receiving notices of new journals and updates to PMC, mentioning the 'PMC News mail list' and an 'RSS feed'. The second column states that all articles in PMC are free, sometimes on a delayed basis, and mentions 'Open Access'. The third column describes PMC's 'utilities', including an OAI service for XML full-text, scripting PMC searches, and linking to specific articles. The fourth column explains that the 'PMC journal list' comprises journals that deposit material in PMC on a routine basis and generally make all their published articles available here, and also mentions that PMC has 'author manuscripts' of articles published by NIH-funded researchers in various non-PMC journals, increasing free access to these articles is the goal of the 'NIH Public Access' policy, and that similar manuscripts from researchers funded by the Wellcome Trust are available in PMC as well. At the bottom of the fourth column, it states that eligible researchers should use the 'NIH Manuscript Submission' system to deposit manuscripts. At the bottom of the main content area, there is a link to a modern journal article DTD: 'Looking for a modern journal article DTD? Take a look at NLM's Journal Publishing XML DTD and schema.'

<http://www.pubmedcentral.nih.gov/>

Publisher Deposit

- Some publishers automatically deposit the published article in PMC
http://publicaccess.nih.gov/submit_process_journals.htm
- Some publishers deposit the final peer-reviewed manuscript in PMC
 - PIs must approve the submission in the NIH Manuscript Submission System [NIHMS]).
<http://www.nihms.nih.gov/>

Other Deposit Options

- Authors submit manuscripts to PMC
- Library staff deposit final manuscripts in PMC on behalf of authors (and deposit in SMARTech, depending on the rights reserved)

Know Your Publishers

PUBLISHER	DEPOSIT?	PI INVOLVEMENT?
John Wiley & Sons	✓	✓
Oxford University Press	✓	✓
Elsevier	✓	✓
American Society of Microbiology	✓	✗
The American Society for Biochemistry and Molecular Biology	✓	✗
Institute of Physics Publishing	✗	✓ +
Nature Publishing Group	✗	✓ +
Springer	✗	✓ +

Deposit Instructions

- Tutorial for submission by a PI:
 - <http://www.nihms.nih.gov/web-help/PI-NPMC/PI-NPMC-1.html>
- Tutorial for submission on behalf of PI:
 - <http://www.nihms.nih.gov/web-help/NPI-NPMC/NPI-NPMC-1.html>

Including PMCIDs in Citations

After May 25, 2008, “NIH applications, proposals, and progress reports must include the PubMed Central reference number when citing a paper that falls under the policy and is authored or co-authored by the investigator, or arose from the investigator’s NIH award. This policy includes applications submitted to the NIH for the May 25, 2008 due date and subsequent due dates.”

<http://publicaccess.nih.gov/>

Locating PMCIDs

- Search by author name or title in PubMed Central <http://www.pubmedcentral.nih.gov/>

Journal List > NIHPA Author Manuscripts

Biomaterials. Author manuscript; available in PMC 2008 June 1.
Published in final edited form as:
[Biomaterials. 2008 June; 29\(17\): 2637-2645.](#)
doi: 10.1016/j.biomaterials.2008.03.008.
[Copyright notice](#) and [Disclaimer](#)

PMCID: PMC2408686
NIHMSID: NIHMS49457

NIH-PA Author Manuscript

Bioadhesive Hydrogel Microenvironments to Modulate Epithelial Morphogenesis

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Athanasios Mantalaris,¹ and Andrés J. García^{2,3}

Creating Compliant Citations

- Chung, I., et al., Bioadhesive Hydrogel Microenvironments to Modulate Epithelial Morphogenesis . *Biomaterials*. 2008 June; 29(17): 2637-2645. [PMCID: PMC2408686](#)
- Chung, I., et al., Bioadhesive Hydrogel Microenvironments to Modulate Epithelial Morphogenesis . *Biomaterials*. 2008 June; 29(17): 2637-2645. [NIHMSID: NIHMS49457](#)
- Chung, I., et al., Bioadhesive Hydrogel Microenvironments to Modulate Epithelial Morphogenesis . *Biomaterials*. 2008 June; 29(17): 2637-2645. [PMCID: PMC Journal - In Process](#)

Liability

“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”

<http://publicaccess.nih.gov/FAQ.htm>

Library Services Offered

- Answer questions related to the NIH Public Access Policy and how to comply.
- Offer NIH Public Access Policy informational sessions to departments, research groups, and individual faculty.
- Deposit manuscripts in PubMed Central and SMARTech on behalf of authors.
- Provide hands-on PubMed Central submission training.
- Suggest tools that help researchers retain rights to deposit in repositories like PubMed Central.
- Contact us at: nihpolicy@library.gatech.edu

Benefits

- Barrier free access to NIH funded research
- Increased use, dissemination, and impact of research available through PMC and SMARTech
- Digital preservation
- Integration with other NCBI databases

Resources

- NIH Public Access Policy website
<http://publicaccess.nih.gov/>
- GT Library NIH Policy website
<http://www.library.gatech.edu/scholarlycommunication/nihpolicy.html>
- ARL NIH Policy website
<http://www.arl.org/sc/implement/nih/>
- NIHMS <http://nihms.nih.gov/>
- NIHMS Submission Help for PIs and non-PIs
<http://www.nihms.nih.gov/web-help/index.html>
- Science Commons/SPARC Access-Reuse Author Addendum
<http://scholars.sciencecommons.org/>

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