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# The NIH Public Access Policy: Grant Writing, Progress Reports, and My Bibliography, Oh My!

Rosenzweig, Merle

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### The NIH Public Access Policy: Grant Writing, Progress Reports, and My Bibliography, Oh My!

Merle Rosenzweig oriley@umich.edu Tyler Nix tnix@umich.edu



#### What will be covered

- About the NIH Public Access Policy (NIHPAP)
- Complying with NIHPAP
- The NIH Manuscript Submission (NIHMS)
- My Bibliography via MyNCBI
- NIH Progress Reports (RPPR)

## Policy background

- Launched in 2008
- Ensures public access to NIH-funded research articles

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The policy's rationale is that when research funding comes from taxpayer dollars, the public should be able to view research outputs.

#### Policy language:

"The Director of the National Institutes of Health ("NIH") shall require...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." (source: https://publicaccess.nih.gov/policy.htm)

## How do I comply?

- 12 months to ensure deposit to Pubmed Central database with PMCID# assigned
- NIH grantee or designate responsible for deposit
- Non-compliance may delay or prevent future awards

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After publication of a paper, NIH grantee or designate has 12 month window to deposit the final peer-reviewed manuscripts in the National Library of Medicine's PubMed Central database.

"Final peer-reviewed manuscript" is different than the published paper that has been formatted for publication. What's being submitted to PMC is one step back from the published version, back to the "final draft."

The onus of compliance falls on the NIH Grantee, even if the grantee is not a paper's author. If a graduate student has written a paper supported by NIH funding through an NIH Grantee's lab, the NIH Grantee is ultimately responsible for the graduate student's paper being NIHPAP compliant.

# When to start thinking about compliance?

- When paper is accepted for publication
- When signing the author agreement

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As soon as you get the notification that a paper is accepted for publication, start the process. At this stage you still have easy access to the documents you need (final draft, image files, tables of contents, etc.) and your co-authors or graduate students haven't yet moved to other universities, etc.

If you're an author, very important to read the author agreement for language that addresses Public Access compliance.

# When reviewing the author agreement:

- 1. Retain legal rights to deposit paper in PMC
- 2. If depositing to PMC is <u>not</u> specified in agreement, add wording to agreement\* or contact publisher
- 3. If depositing to PMC <u>is</u> addressed in agreement, determine
  - what will the publisher do?
  - what will you need to do?

\*sample wording available at https://publicaccess.nih.gov/faq.htm

How to retain right deposit paper to PMC? Confirm that the author agreement includes language for complying with the NIHPAP. If not, contact publisher to retain right in writing.

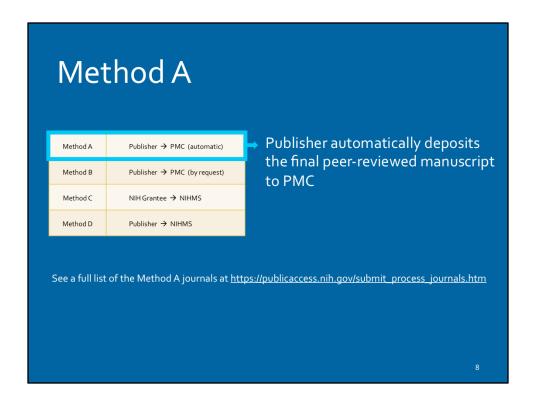
Sample wording to add to author agreement is available at the link- https://publicaccess.nih.gov/faq.htm

Determining what you need to do to submit your paper to PMC depends on the publisher/author agreement, and will fall into 1 of 4 methods.

How are papers deposited in PMC?						
	Method A	Publisher → PMC (automatic)				
	Method B	Publisher → PMC (by request)				
	Method C	NIH Grantee → NIHMS				
	Method D	Publisher → NIHMS				
			7			

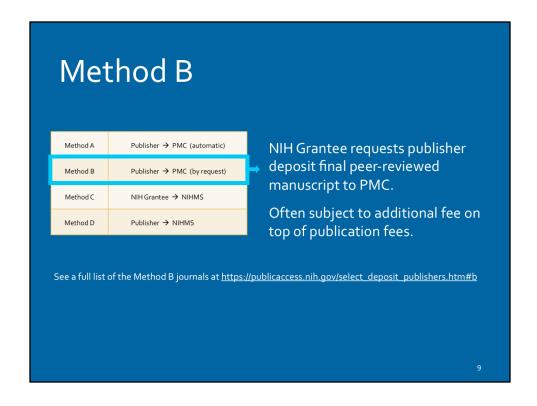
Methods A & B are in place with select publishers who are equipped to send automatically formatted (XML) versions of your paper, behind the scenes, directly to PMC.

Methods C & D are manual processes that involve a person actually uploading documents which are then specially formatted for PMC. The NIHMS system is what does the formatting.



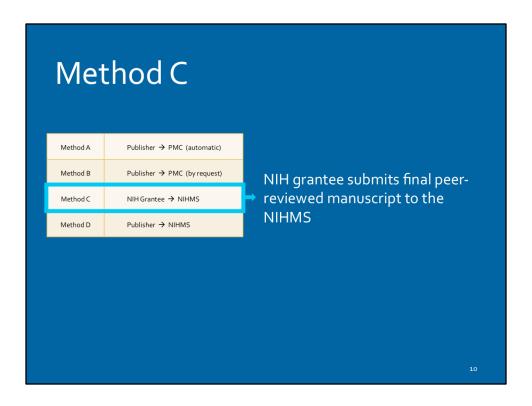
In Method A, you don't have to do anything extra to submit your paper to PMC, the publisher takes care of it for you.

See a full list of the Method A journals at <a href="https://publicaccess.nih.gov/submit\_process\_journals.htm">https://publicaccess.nih.gov/submit\_process\_journals.htm</a>



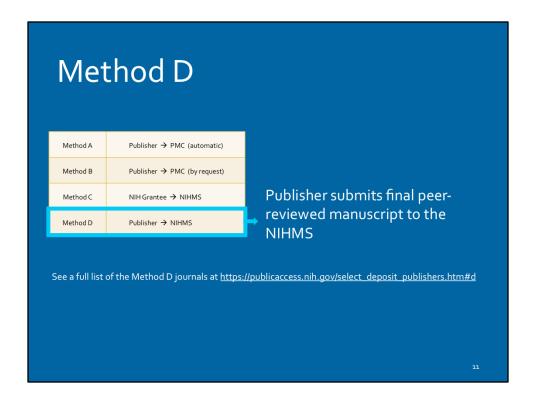
Some publishers are equipped to submit your paper directly to PMC, but they don't do it automatically. With these publishers, you'll need to ask them to post the paper to PMC for you. This process is often subject to an additional fee(s). Such fees can be covered by your NIH grant if included in the original application.

See a full list of the Method B journals at <a href="https://publicaccess.nih.gov/select\_deposit\_publishers.htm#b">https://publicaccess.nih.gov/select\_deposit\_publishers.htm#b</a>



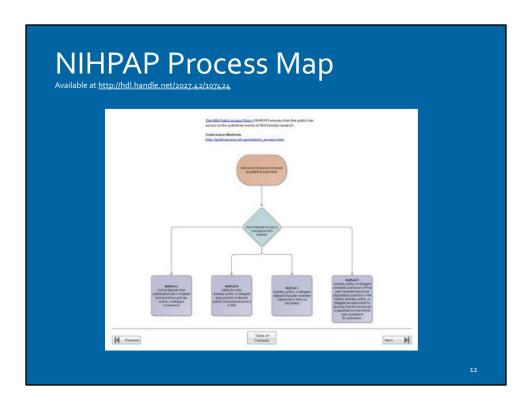
Where methods A and B involve the publisher sending the paper directly to PubMed Central, methods C & D will require that either the grantee, or someone at the publisher, manually upload your paper to PMC via the NIHMS system.

In method C, deposit has to be done by the NIH Grantee. Method C is often required when the author agreement has not made any mention of NIHPAP compliance; in these cases it's imperative to contact the publisher to retain your right to post a final draft.



In method D, the paper will be deposited to NIHMS by someone at the publisher. After initial deposit by the publisher, an NIH Grantee or designate is usually required to follow-up to review and approve the NIHMS-formatted paper before it's assigned a PMCID#.

See a full list of the Method D journals at <a href="https://publicaccess.nih.gov/select\_deposit\_publishers.htm#d">https://publicaccess.nih.gov/select\_deposit\_publishers.htm#d</a>



This tool will help you to determine which of the four methods you need to use and how to do each one step-by-step. You can download it by following the link on this slide.

Available at <a href="http://hdl.handle.net/2027.42/107424">http://hdl.handle.net/2027.42/107424</a>

# National Institutes of Health (NIH) NIH Manuscript Submission (NIHMS)

#### **All About NIHMS**

- Purpose.
- What it does.
- Using NIHMS.
- What materials are submitted?

- The system was developed to facilitate the submission of peer-reviewed manuscripts supported by NIH grants for inclusion in PubMed Central (PMC) in support of the NIH Public Access Policy.
- The NIHMS system allows users –NIH grantees, authors, publishers--to supply
  material for conversion in a wide range of electronic formats that can be loaded
  into PMC.
- All the files associated with the peer-reviewed, accepted manuscript need to be submitted to NIHMS
  - o Title page with author and affiliation information
  - Main text of the manuscript (\*Manuscript files may contain embedded figures and tables.)
  - o References
  - o Figures
  - Tables
  - Appendices
  - Supplementary files (online, electronic, etc.)

# **Navigating the NIHMS Process**

Depositing a manuscript into NIHMS is a multi-step process.

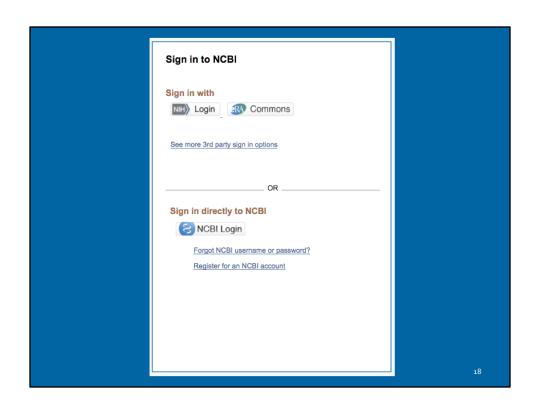
Step	Description
MM-31	Step 1: Deposit Files  A manuscript may be submitted by the author, the PI, the publisher, or another third party. Third-party submitters must designate an author or PI to serve as the Reviewer for an NIHMS submission. In these cases, the Reviewer will receive notification of the deposit via e-mail.
Notice A.	Step 2: Initial Approval  The Reviewer reviews the submission, confirms or adds associated funding, and either rejects or approves the material for processing in NIHMS.
<b>1</b> 0000	Step 3: NIHMS Conversion NIHMS staff reviews the approved files for completeness, and complete submissions are converted to archival XML. The PMC-ready documents (Web and PDF versions) are checked to ensure they accurately reflect the submitted files. An e-mail notification is sent to the Reviewer when the record is available for final review.
No.	Step 4: Final Approval  The Reviewer reviews the PMC-ready documents (Web and PDF versions) and either requests corrections or approves them for inclusion in PMC. Final Approval is required to complete manuscript processing in NIHMS.
1473589	Step 5: PMCID Assigned A PMCID is assigned when Final Approval is complete and the manuscript is matched to a PubMed record with complete citation information. For details, see <a href="When will a PMCID">When will a PMCID be assigned to my manuscript?</a> in the NIHMS FAQ.
	Manuscript is made available in PMC following the publisher-required embargo period (if applicable).

Deposit Methods C & D require the NIH Grantee or a designate to follow steps 1 through 5 to receive a PMCID# If publisher has deposited files to PMC as in Method D, NIH Grantee must still complete steps 2-5.

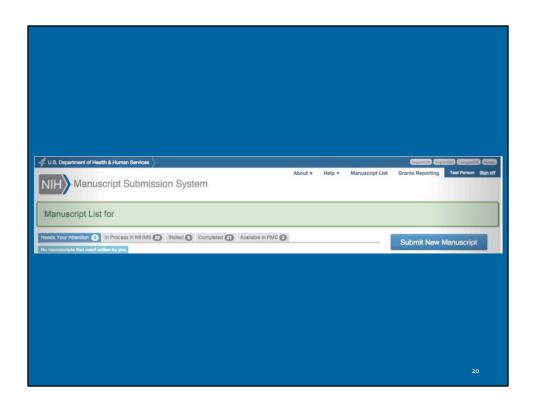
Table courtesy NIH- https://www.ncbi.nlm.nih.gov/books/NBK3846/

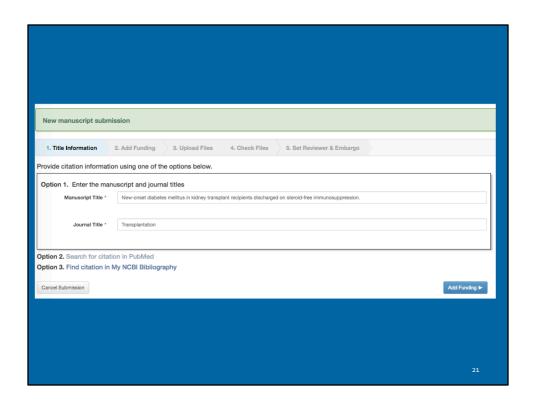


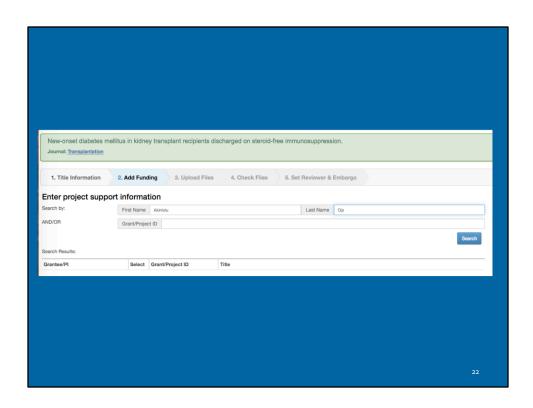
NIHMS Manuscript Submission System- https://www.nihms.nih.gov/db/sub.cgi

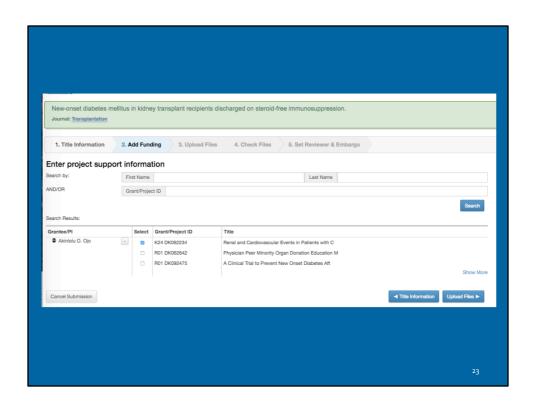


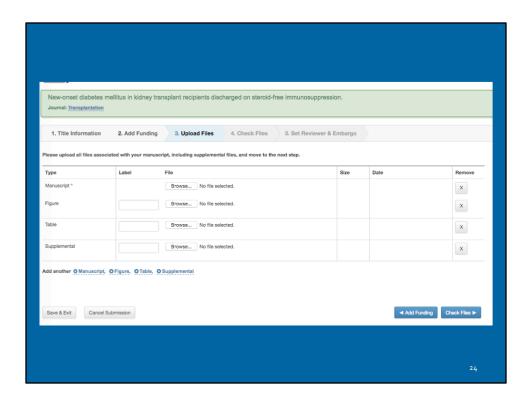


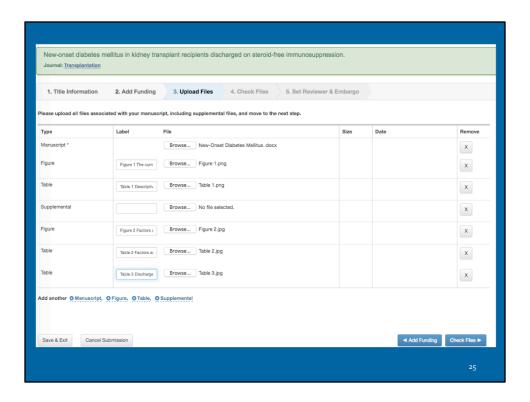


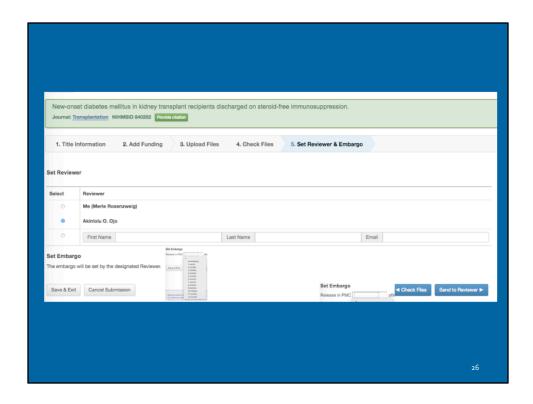


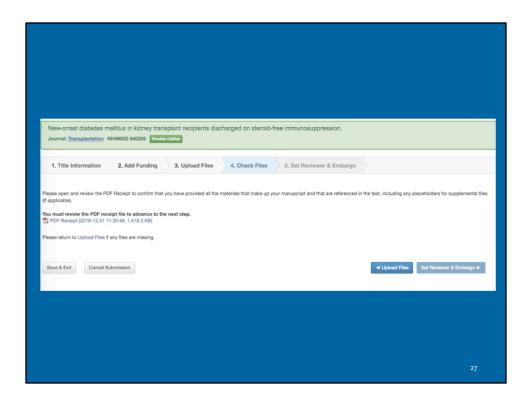














#### **Manuscript Information**

o mellitus in kidney transplant recipients discharged on accuparession.

#### Manuscript Files

Type	Fig Table #	Filename	Size	Uploaded
BARUSCI	ige.	New-Onset Diabetes Mellitus docs	2734	12016-12-31 11:34:54
figure	Figure 1 The cumulative incidence rates of new-oncet diabetes after transplant (NODAT) per 1000 patient years at 6 mouths and at 1, 2, and 3 years, by use of steroids at discharge	Figure 1.png	7404	2016-12-31 11:34:55
figure	Figure 2 Factors associated with the probability of developing NODAT within 3 years of discharge from the transplant hospitalization (N=25,837)	Figure 2.jpg	7313	72016-12-31 11:34:56
table	Table 1 Descriptive statistics for selected recipient, donor and transplant characteristics by the inclusion of steroids in the discharge maintenance immunosuppression regimen	Table 1.png	3853	02016-12-31 11:34:56
table	Table 2 Factors associated with the probability of developing NODAT within 3 years of discharge from the transplant hospitalization (N=25,837)	Table 2.jpg	1207	13716-12-31 11:34:57
table	Table 3 Discharge maintenance immunosuppression regimens other than	Table 3.jpg	1258	2016-12-31 11:34:58

#### New-Onset Diabetes Mellitus in Kidney Transplant Recipients Discharged on Steroid-Free Immunosuppression

Luan, Fu L<sup>1,8</sup>; Ste⊞ok, Diane E<sup>2</sup>; Ojo, Akinlolu O.<sup>1,2</sup>

Luan, Fu L. 1-3, SECIOL, Clare E-2, Op., Altriou 0, 1-2

Author Information

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A. O. Received grant support from Pitzer, U.S. for a separate investigation-initiated research project and received consulting fees and speaking honoraria from Pitzer, Gengmer, Roche, and Novarris.

Presented at the American Transplant Congress, 2006, Boston, MA.

3 Address correspondence to: Fu Luan, M.D., University of Michigan Health System, 3914
Taubman Center, Box 0304, 1500 East Medical Center Drive, Ann Arbor, MI 48109-0394.

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E-t. L. participated in shuly design and manuscript preparation; D. E. S. participated in data collection, statistical analyses, and manuscript preparation; and A.O.O. participated in the study design and manuscript preparation; and A.O.O. participated in the May 2010. Accepted 20 October 2010.

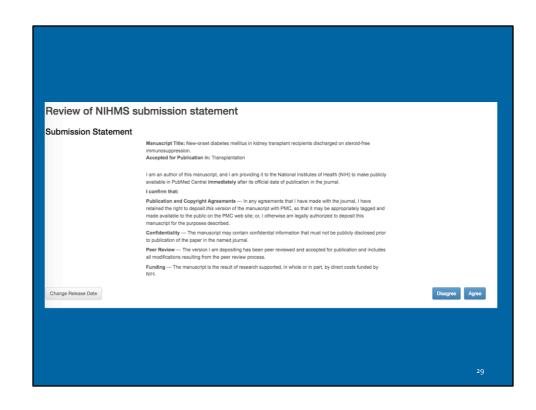
Abstract

#### Abstract

Background. New-onset diabetes after transplant (NODAT) is a serious complication after kidney transplantation. We studied the relationship between steroid-free maintenance regimens and NODAT in a national cohort of adult kidney transplant patients.

Methods. A total of 25,837 previously nondiabetic kidney transplant patients, engrafted between January 1, 2004, and December 31, 2006, were included in the study. Logistic regression analysis was used to compare the risk of developing NODAT within 3 years after transplant for patients discharged with and without steroid-containing maintenance immunosuppression regimens. The e□ect of transplant program-level practice regarding steroid-free regimens on the risk of NODAT was studied as well.

Results. The cumulative incidence of NODAT within 3 years of transplant was 16.2% overall; 17.7% with maintenance steroids and 12.3% without (P<0.001). Patients discharged with steroids had 42% greater odds of developing NODAT compared with







# Citing NIHPAP Publications

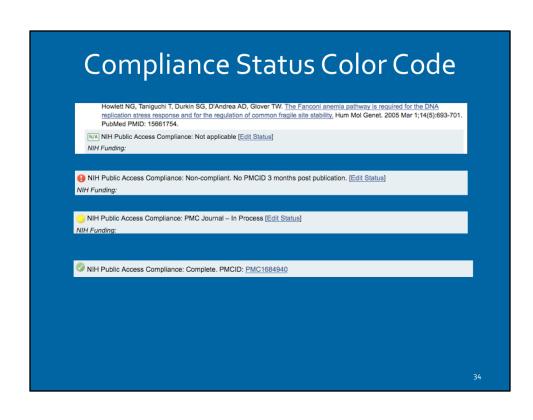
Identifier	Description	NIHPAP Compliance Status	Example
PMCID	Pubmed Central unique identifier	Complies	PMC2901972
NIHMSID	NIH Manuscript Submission system unique identifier	Temporary compliance	NIHMSID30238
PMC Journal - In Process	Publisher deposited publication submitted to NIHMS but not yet having received an identifier	Temporary compliance	PMC Journal - In Process
PMID	Medline/PubMed unique identifier	Does NOT comply	PMID:12748199

### Manage Compliance

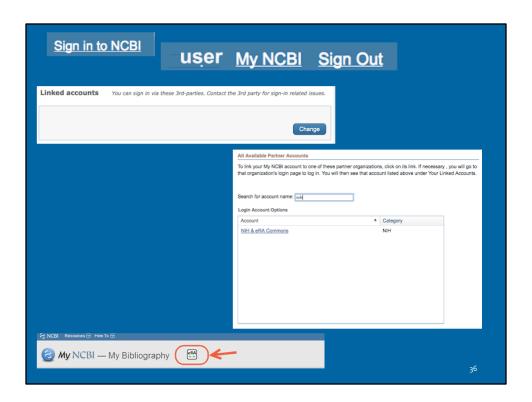
NIH Grantees must use "My Bibliography" in My NCBI to manage compliance and organize their bibliographies.

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The "My Bibliography " Tool in My NCBI is used for Bibliography Management by NIH Grantees in eRA Commons and allows to associate publications with grant awards, and ensure compliance with the NIH Public Access Policy.



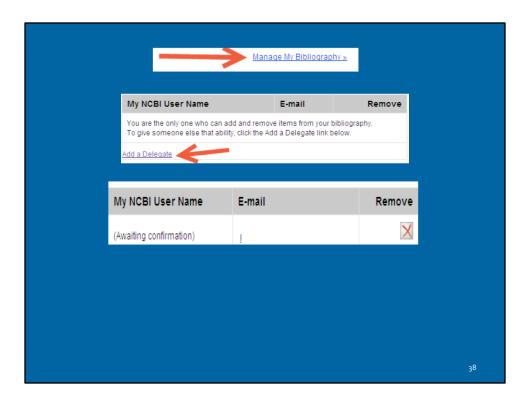
The My Bibliography account must be linked to an eRA Commons account.



#### Step-by-step instructions:

- 1. Sign into the My NCBI account, then click on the user name in the upper right hand corner.
- 2. On the resulting page, click the "Change" button next to the Linked Account section if no linked account is already listed.
- 3. From the Login Account Options list, choose the NIH & eRA Commons.
- 4. You can log in on the resulting page using your eRA Commons username and password.
- 5. References saved in My Bibliography automatically appear in eRA Commons once the two are linked.
- 6. When your My NCBI account is linked to your eRA Commons account, you will see an eRA icon at the top of your My Bibliography page

### Delegating Access to My Bibliography

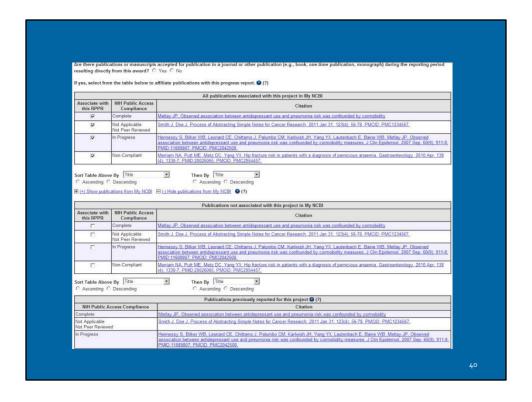


Users can grant access to My Bibliography using the delegate function.

- Click on the "Manage My Bibliography" link.
- Click the "Add a Delegate" link.
- Enter your delegate's email address, then click the "Add Delegate" button.
- The delegate will receive an email with a link to activate access to your account.
- The delegate must have a My NCBI account.
- The "Awaiting confirmation" status will be updated after the delegate activates access to your account.

# Reporting Publications in an NIH Research Performance Progress Report (RPPR)

- Before publications can be added to the NIH progress report, they must first be added to the NIH Grantee's My Bibliography.
- In the eRA Commons progress report, there is a section specific to publications and manuscripts accepted for publication under the tab called "Products."
- There will be three tables under Products.

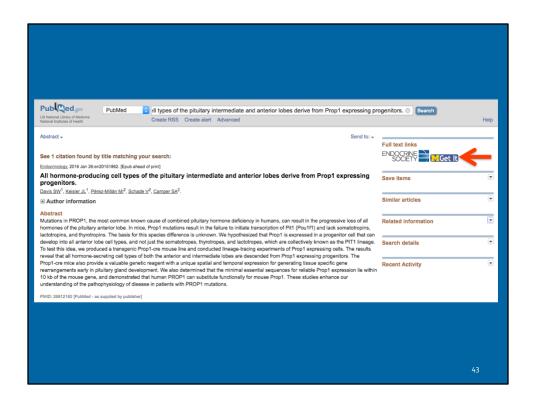


#### The three tables are as follows:

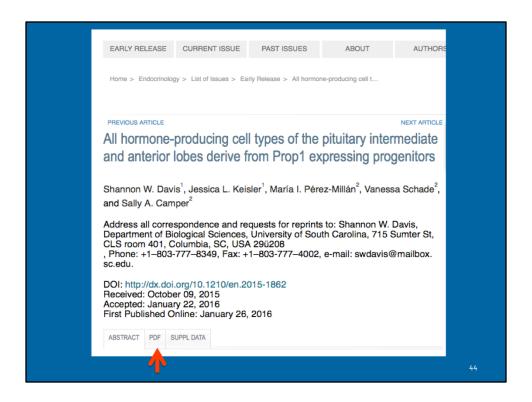
- 1. All publications not previously reported to NIH electronically that are in My Bibliography and which are associated with the award.
- 2. All publications in the NIH Grantee's My Bibliography that are not specifically associated with the award .
- 3. All publications reported on prior progress reports are listed on the third table.
- Publications associated with the current project are automatically checked. If you
  uncheck any of them, they will not be included in the progress report, and the
  association with your award in My NCBI will also be removed. Before taking this
  action, be sure to review the publication itself to ensure that the award is not cited
  as supporting the work described in the publication.
- Checking the box next to one of these publications will add the publication to the progress report and associate it with the award in My NCBI. Refresh the screen to move any checked publications from this table to the first table

### Tips on Compliance & Working with RPPR

Does this Paper Fall Under NIHPAP?



If grant information does not appear in the record in PubMed/Medline...



Pull up the full-text

### All hormone-producing cell types of the pituitary intermediate and anterior lobes derive from Prop1 expressing progenitors

Shannon W. Davis¹, Jessica L. Keisler¹, María I. Pérez-Millán², Vanessa Schade², Sally A. Camper²

 $^{\rm 1}$  Department of Biological Sciences, University of S Carolina, Columbia, SC;  $^{\rm 2}$  Department of Human Genetics, University of Michigan, Ann Arbor, MI

#### **Acknowledgments**

Funding provided by NICHD (R0130428 to SAC) International Endocrine Scholar Program (MIPM), the Transgenic Animal Model Core (NIH grant numbers CA46592, AR20557, and DK34933) and the University of South Carolina (start-up tunding to SWD). We acknowledge Thom Saunders, Wanda Filipiak, Maggie Van Keuren, and Michael Zeidler of the University of Michigan Transgenic Animal Model Core for preparation of BAC constructs and transgenic mice. The PROP1 antibody was a generous gift of Aimee Ryan of the Departments of Pediatrics and Human Genetics, McGill University, Montréal, Québec.

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The Acknowledgements list several NIH grants. This publication does fall under the NIHPAP

## Why is this publication listed as non-compliant in RPPR?

It has a NIHMSID!

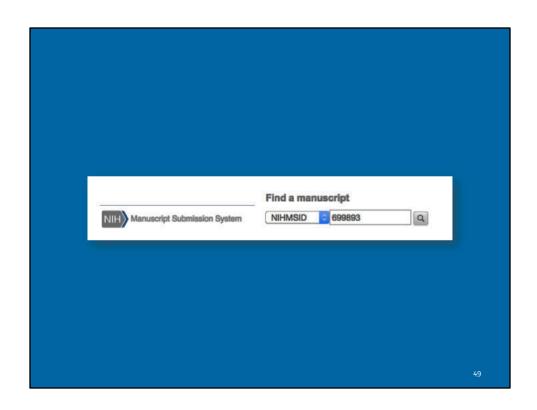


NIHMS can only be used for 3 months post publication date and this article was published in October 2014. After 3 month grace period, PMCID is required for compliance.



To determine how to move the process on to getting a PMCID assigned, login to the NIH Manuscript Submission System (NIHMS) and search for the NIHMSID.

NIHMS Manuscript Submission System- https://www.nihms.nih.gov/db/sub.cgi



Ageing and the epidemiology of multimorbidity  Journal: Eur Respir J PubMed # 25142482 NIHMSID 699893  Manuscript Summary			
	Status Manuscript Title Journal Title NIHMSID Reviewer	Awaiting reviewer's final approval  Againg and the epidemiology of multimorbidity  The European respiratory journal  699893  Theodore Standiford	

The PMCID has not been assigned because the reviewer has not approved the deposit. Once the deposit is approved it will take about 6-8 weeks for a PMCID to be assigned.

