Research Administration Forum

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Updates & Reminders

- Welcome

- Reminders
    - Using InfoEd for grant submissions
    - Late Submissions
    - Signing the Routing Form
    - Human Subjects/Animal Subjects
    - Routing Form in InfoEd

SPONSORED RESEARCH AND PROGRAM DEVELOPMENT

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NIH Public Access Policy 2008

Teresa Solomon, Assistant Counsel
Carol Feltes, University Librarian

Background

- Original NIH Voluntary Guidelines of 2005
  http://grants.nih.gov.grants/guide/notice-files/NOT-OD--05-022.html

- Public Law 110-161 January 2008 http://frwebgate.access.gpo.gov/cgi
  in/getdoc.cgi?dbname=110_cong_bills&docid=f:h2764enr.txt

- Revised NIH Public Access Guidelines 2008 – Mandatory
  http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html

- Federal Register Notice March 2008
  http://publicaccess.nih.gov/federal_register_March_31_2008.pdf

- RFI (Commentary) on Revised Policy
  http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-060.html

The Guidelines:

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.

Key Points of the Guidelines

- Article must have been submitted for publication on or after April 7, 2008

- NIH Grant funding must be active after October 1, 2007

- Principal Investigator (PI) must be Rockefeller researcher

- Must be submitted to Pubmed Central upon acceptance

- Must be made publicly available 12 months after publication (advance online counts)

- Exception: Howard Hughes has more stringent guideline of 6 months
  http://www.hhmi.org/about/research/journals/main?action=search

- All future reports and applications to NIH must include PMCID numbers for all documents cited covered by this policy

Impacts of the Guidelines

- Compliance required for continued NIH funding.
- PMCID numbers are not currently routinely included in citation information.
- Acceptance of a final peer-reviewed manuscript for publication is not the end of the author/PI responsibility.
- Publisher's policies must be reconciled with author compliance obligations.

Publisher Policies

- Policies range from liberal open access approaches to very conservative
- They fall into 3 categories:
  - A   publishers that will submit on behalf of authors automatically
  - B   publishers that allow you to "opt in" for submission at time article is accepted
  - C   publisher will NOT submit the article, but will allow public access after 12 months: at RU Markus Library will submit on behalf of author

Sample of "A" Journal email text

Dear Corresponding Author and Laboratory Head,

I looked into J. of Virology/American Society for Microbiology copyright policy[copy of Policy is below] As of _____, 2008 this journal has committed to make the final published version of your NIH-funded article publicly available in PubMed Central within 12 Months of publication, without author involvement.

You may sign the publisher's copyright transfer agreement.

You should be aware that if an HHMI investigator author is listed on this manuscript he/she is subject to the Public Access Publishing Policy of HHMI at: http://www.hhmi.org/about/research/sc320.pdf. This policy is more restrictive than NIH's and should be consulted immediately.

If you have any questions, please contact me.

Terry
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Effective April 2008, the NIH initiated a policy requiring that all investigators funded by the NIH either 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. Authors of ASM journal articles are automatically in compliance with this policy and need take no action themselves.

CELL PRESS JOURNAL PUBLISHING AGREEMENT (CURRENT BIOLOGY)

Please fax page 1 to (866) 341-2864 (primary) or (617) 397-2820 (backup)

ARTICLE ENTITLED:

FIRST AUTHOR:

CORRESPONDING AUTHOR:

YOUR STATUS

☐ **I am the sole author of the manuscript**
Please indicate if any of the below also apply to you:
☐ I am a UK Government employee electing to transfer copyright
☐ I am a UK, Canadian or Australian Government employee and Crown Copyright is claimed
☐ I am a US Government employee and there is no copyright to transfer
☐ I am a contractor of the US Government under contract number: ……………………………………………………………………

☐ **I am one author signing on behalf of all co-authors of the manuscript**
Please indicate if any of the below also apply to you and your co-authors:
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☐ **The article is a 'work made for hire' and I am signing as an authorized representative of my employer.**

Name and job title of assignee if different from Corresponding Author: …………………………………………………………

Please indicate if any of the below also apply to you:
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FUNDING
☐ The underlying research reported in the article was funded by the US National Institutes of Health
☐ The underlying research reported in the article was performed by a Howard Hughes Medical Institute investigator
☐ The underlying research reported in the article was funded by the Wellcome Trust

Name: ……………………………………………………………..

Sample of "B" Journal email text

Dear Corresponding Author and Laboratory Head,

I looked into the journal's copyright policy, and as of today's date this journal appears to comply with the NIH's Public Access Policy. This is because the journal indicates that it:

• will submit to PubMed Central the final peer-reviewed manuscript

• will authorize your manuscript's public access posting 12 months after final publication

Based on this information you may sign the publisher's copyright transfer agreement**. IF YOU ARE ASKED IN THIS AGREEMENT OR IN ANY OTHER SUBMISSION FORM WHAT FUNDED YOUR UNDERLYING RESEARCH REPORTED, <u>MAKE SURE THAT YOU CHECK THE CORRESPONDING BOX ACKNOWLEDGING THAT YOUR ARTICLE IS REPORTING RESEARCH FUNDED BY THE NIH.</u>** Your designation will ensure the Journal sends the final peer-reviewed manuscript to PubMed Central.

The NIHMS system will email the Corresponding Author requesting verification and approval of the manuscript via NIHMS system. NIH will also send a separate email notification to the PI letting them know their award was associated with a paper.

You should be aware that if an HHMI investigator author is listed on this manuscript he/she is subject to the Public Access Publishing Policy of HHMI at: http://www.hhmi.org/about/research/journals/main?action=search.
This policy is more restrictive than NIH's and should be consulted immediately.

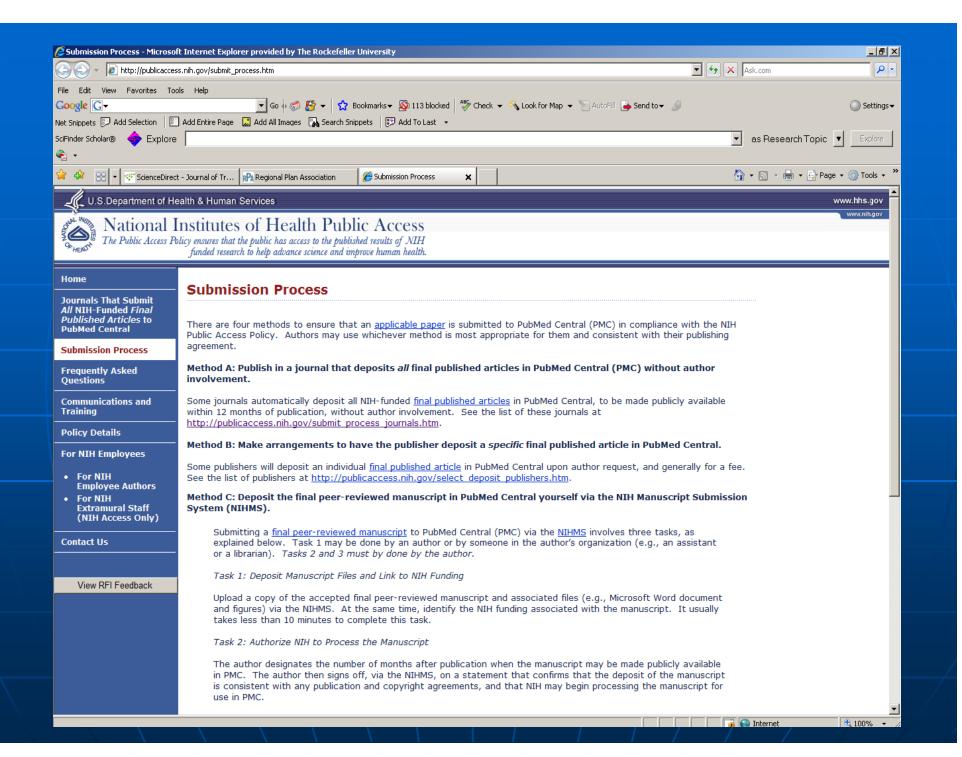If you have any questions, please contact me.

Thanks.

Terry Solomon
Ext. 7598

Sample of "C" Journal email text

Dear Corresponding Author and Laboratory Head,

I looked into Oxford Journals' copyright policy for Human Molecular Genetics papers posted on its web site as of _____, 2008. [Copy of policy below]

The posted policy appears to comply with the NIH's Public Access Policy. This is because the journal indicates that it:
•will allow **you** to submit to PubMed Central the final peer-reviewed manuscript
•will authorize your manuscript's public access posting 12 months after first online publication
Based on this information you may sign the publisher's copyright transfer agreement. After you sign, please provide to Carol Feltes:
•**a digital copy (Word or pdf) of the finally accepted peer reviewed article**
•**any associated files i.e, supporting data files**
so that the library may deposit these in the NIH Manuscript Submission (NIHMS) system. The NIHMS system will email the Corresponding Author requesting verification and approval of the manuscript via NIHMS system. NIH will also send a separate email notification to the PI letting them know their award was associated with a paper.

If you have any questions, please contact me.

Sincerely,

Terry

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 Authors may upload their accepted manuscript PDF ("a post-print*") to institutional and/or centrally organized repositories (including **PubMed Central**), but must stipulate that public availability be delayed until **12 months after first online publication** in the journal.
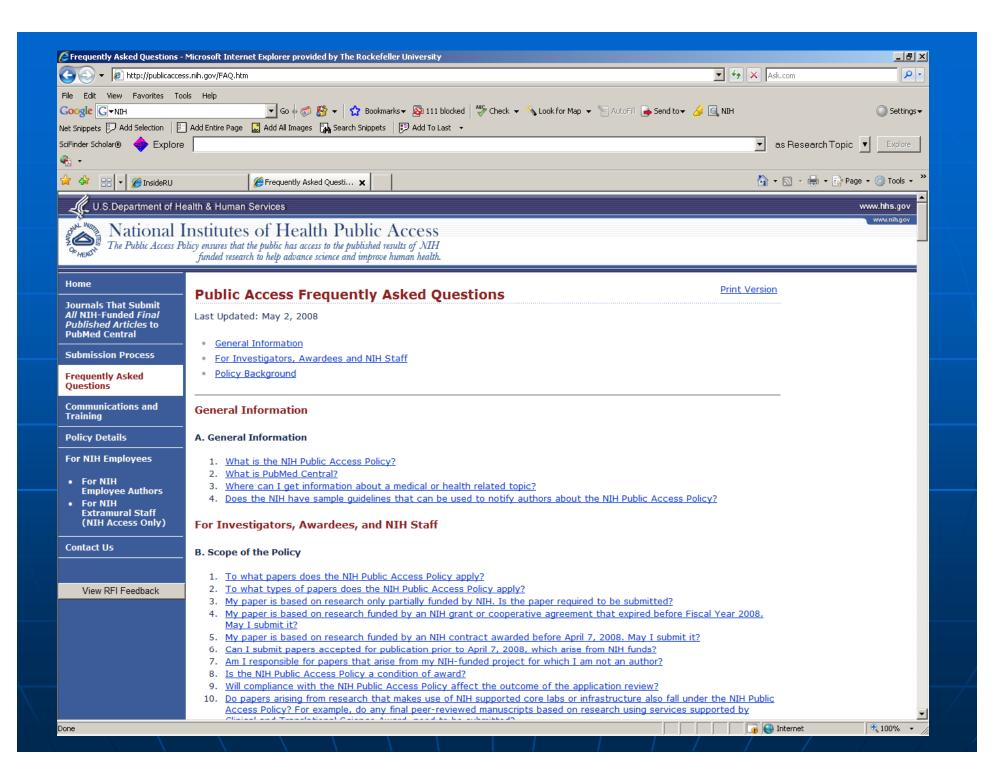
For Further Information on the Guidelines

- Overview of Revised Policy
  http://publicaccess.nih.gov

- Submission Process
  http://publicaccess.nih.gov/submit_process.htm

- List of journals that WILL submit
  http://publicaccess.nih.gov/submit_process_journals.htm

- Association of College and Research Libraries White Paper
  http://www.arl.org/sc/implement/nih/guide/response~print.shtml

U.S.Department of Health & Human Services   www.hhs.gov

www.nih.gov

National Institutes of Health Public Access

The Public Access Policy ensures that the public has access to the published results of NIH funded research to help advance science and improve human health.

Home

Journals That Submit All NIH-Funded Final Published Articles to PubMed Central

Submission Process

Frequently Asked Questions

Communications and Training

Policy Details

For NIH Employees

- **For NIH Employee Authors**
- **For NIH Extramural Staff (NIH Access Only)**

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View RFI Feedback

Submission Process

There are four methods to ensure that an applicable paper is submitted to PubMed Central (PMC) in compliance with the NIH Public Access Policy. Authors may use whichever method is most appropriate for them and consistent with their publishing agreement.

Method A: Publish in a journal that deposits *all* final published articles in PubMed Central (PMC) without author involvement.

Some journals automatically deposit all NIH-funded final published articles in PubMed Central, to be made publicly available within 12 months of publication, without author involvement. See the list of these journals at http://publicaccess.nih.gov/submit_process_journals.htm.

Method B: Make arrangements to have the publisher deposit a *specific* final published article in PubMed Central.

Some publishers will deposit an individual final published article in PubMed Central upon author request, and generally for a fee. See the list of publishers at http://publicaccess.nih.gov/select_deposit_publishers.htm.

Method C: Deposit the final peer-reviewed manuscript in PubMed Central yourself via the NIH Manuscript Submission System (NIHMS).

Submitting a final peer-reviewed manuscript to PubMed Central (PMC) via the NIHMS involves three tasks, as explained below. Task 1 may be done by an author or by someone in the author's organization (e.g., an assistant or a librarian). *Tasks 2 and 3 must by done by the author.*

Task 1: Deposit Manuscript Files and Link to NIH Funding

Upload a copy of the accepted final peer-reviewed manuscript and associated files (e.g., Microsoft Word document and figures) via the NIHMS. At the same time, identify the NIH funding associated with the manuscript. It usually takes less than 10 minutes to complete this task.

Task 2: Authorize NIH to Process the Manuscript

The author designates the number of months after publication when the manuscript may be made publicly available in PMC. The author then signs off, via the NIHMS, on a statement that confirms that the deposit of the manuscript is consistent with any publication and copyright agreements, and that NIH may begin processing the manuscript for use in PMC.

Internet   100%

Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited in the NIH Manuscript Submission System (NIHMS).

….. some publishers deposit the manuscript files in the NIHMS for an author and designate the number of months after publication when the paper may be made publicly available in PMC.
The NIHMS will notify the author when the manuscript files are received from the publisher. At that point, the author must complete all of the tasks outlined for Method C, except for the file deposit part of Task 1 above.

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

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U.S.Department of Health & Human Services   www.hhs.gov

www.nih.gov

National Institutes of Health Public Access
*The Public Access Policy ensures that the public has access to the published results of NIH
funded research to help advance science and improve human health.*

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Public Access Frequently Asked Questions   <u>Print Version</u>

Last Updated: May 2, 2008

- <u>General Information</u>
- <u>For Investigators, Awardees and NIH Staff</u>
- <u>Policy Background</u>

General Information

A. General Information

1. <u>What is the NIH Public Access Policy?</u>
2. <u>What is PubMed Central?</u>
3. <u>Where can I get information about a medical or health related topic?</u>
4. <u>Does the NIH have sample guidelines that can be used to notify authors about the NIH Public Access Policy?</u>

For Investigators, Awardees, and NIH Staff

B. Scope of the Policy

1. <u>To what papers does the NIH Public Access Policy apply?</u>
2. <u>To what types of papers does the NIH Public Access Policy apply?</u>
3. <u>My paper is based on research only partially funded by NIH. Is the paper required to be submitted?</u>
4. <u>My paper is based on research funded by an NIH grant or cooperative agreement that expired before Fiscal Year 2008. May I submit it?</u>
5. <u>My paper is based on research funded by an NIH contract awarded before April 7, 2008. May I submit it?</u>
6. <u>Can I submit papers accepted for publication prior to April 7, 2008, which arise from NIH funds?</u>
7. <u>Am I responsible for papers that arise from my NIH-funded project for which I am not an author?</u>
8. <u>Is the NIH Public Access Policy a condition of award?</u>
9. <u>Will compliance with the NIH Public Access Policy affect the outcome of the application review?</u>
10. <u>Do papers arising from research that makes use of NIH supported core labs or infrastructure also fall under the NIH Public Access Policy? For example, do any final peer-reviewed manuscripts based on research using services supported by</u>

Done   🛡 🌐 Internet   🔍 100% ▾

Program Development Services

- Funding Database (*Pending*)
- Grant Seeking Resources
- Grant Writing Tools & Resources
- Training
- Research Trends
- Research Admin Listserv

Grant Seeking Resources

- Funding Opportunities
  - Community of Science (*New*)
  - Weekly Funding Alerts
  - Submission Deadlines
  - Development Office Announcements
  - Dean's Office Announcements
  - Fellowships (*Pending*)
  - New Investigator Award Programs (*New*)
- Leading Grant Makers
  Federal and non-federal sponsors
- Other Search Engines

Grant Writing Tools & Resources

- SR-PD tools
  - [Boilerplates](#) (*New*)
  - [Budget tool](#)
  - R01 checklist (*Pending*)
  - Trainee table (*Pending*)
- NIH
  - Institute grant writing guides/tutorials
  - [Grant mechanisms](#)
  - [CSR peer review process](#)
- Other
  Listing of other helpful websites

Reorganized Information

- <u>Training</u>
  - Investigators - Grant seeking tutorial
  - Research Administrators - Research Administration Forum presentations
  - InfoEd; <u>Test Environment</u> (*New*)
- <u>Research Trends</u>
  - Policy Updates & Refreshers
  - Funding Trends – includes NIH funding strategies and funding estimates for disorders/conditions; NSF award trends
  - Academic Research in the News (*New*)
- <u>SR-PD FAQ</u> (*Pending*)

Upcoming Events

Grant Writing workshops sponsored by the Tri-Institutuional Collaboration Network (*TCN)

- September 16, 2008
  Know your Ks
  F32's: What's a Postdoc to do?
- October 21, 2008 – NIH Center for Scientific Review
- November 8, 2008 – Write Winning Grants

InfoEd training – dates to be announced

* TCN – collaborative efforts of the sponsored research offices of MSKCC, Weill Cornell and Rockefeller University to serve the Tri-Institutional community

SR-PD Award Notification Form

Questions and Suggestions