The NIH Public Access Policy

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http://PublicAccess.nih.gov

Introduction and Overview

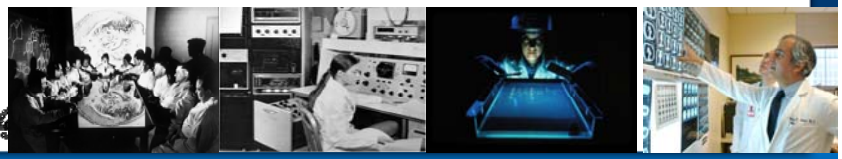
- Public Access and NIH
- What is NIH?
- What is the Public Access Policy
- History: Voluntary v. Requirement
- How it works
- Feedback and Lessons Learned

NIH Mission

The 65-Year Mission of NIH

- Section 301 of the PHS Act –"The Secretary shall conduct in the Service and encourage, cooperate with, and render assistance to other appropriate public authorities, scientific institutions, and scientists in the conduct of, and promote the coordination of, research, investigations, experiments, demonstrations, and studies relating to the causes, diagnosis, treatment, control, and prevention of physical and mental diseases and impairments of man . . ."

The NIH is the primary Federal agency for conducting and supporting medical research.



NIH Funds and Conducts Biomedical Research

NIH is an institution
(Intramural Research)

~6,000 scientists
~10% of NIH budget

NIH supports institutions & people
(Extramural Research)

>3,000 institutions
>300,000 scientists & research personnel
~83% of the NIH budget

Open Access v. Public Access

Bethesda Statement on Open Access Publishing (April 2003):

- "The authors and copyright holders grant to all users a free, irrevocable, worldwide, perpetual right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship, as well as the right to make small numbers of printed copies for their personal use"
- A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in a suitable standard electronic format is deposited immediately upon initial publication in at least one online repository that is supported by an academic institution, scholarly society, government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, interoperability, and long-term archiving (for the biomedical sciences, PubMed Central is such a repository)

Public Access is NOT Open Access

- Articles collected via Public Access are copyrighted by publishers
- Are not made freely available to the public for up to 12 months
- Are accessed under fair use principles, like content at libraries

The Public Access Policy: Goals

ARCHIVE. **Keep a central archive of NIH-funded research publications—for now and in the future, preserving vital biomedical research results and information for years to come.**

ADVANCE SCIENCE. **Create an information resource for scientists to mine, and for NIH to manage better its entire research investment.**

ACCESS. **Provide electronic access to NIH-funded research publications for patients, families, health professionals, scientists, teachers, students, and others.**

The NIH Public Access Policy

- The Policy implements Division G, Title II, Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008) which state

Where to Make Public

en to Make Public

The … shall require that all in… ators … or have submitted for them to … edicine's PubMed Central an electronic … rsion 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.

- NIH Guide Notice NOT-OD-08-033
  http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html
- NIH Guide Notice NOT-OD-09-071 announces the policy is permanent, per the Consolidated Appropriations Act, 2009
  http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-071.html

Definitions

- ***PubMed Central (PMC):*** PubMed Central (PMC) is the NIH digital archive of full-text, peer-reviewed journal papers. These papers are indexed with a PMCID, a series of numbers preceded by 'PMC'. PMC content is publicly accessible and integrated with other databases (see: http://www.pubmedcentral.nih.gov/).
- ***PubMed:*** PubMed provides access to citations from biomedical literature. It includes over 17 million citations from MEDLINE and other life science journals for biomedical articles back to the 1950s, along with links to full text articles and other scientific resources. These citations are indexed with a PMID, a series of numbers.
- ***Final peer-reviewed manuscript:*** The author's final manuscript of a peer-reviewed article accepted for journal publication, including all modifications from the peer review process.
- ***Final published article:*** The journal's authoritative copy of the article, including all modifications from the publishing peer review process, copyediting and stylistic edits, and formatting changes.

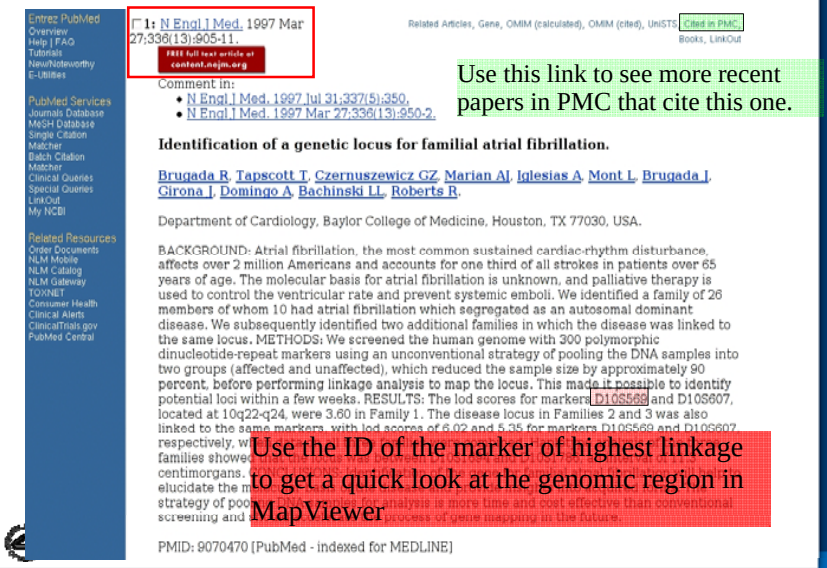
Implications of a Successful NIH Public Access Policy

Easy access to published research funded by NIH will help advance science and improve human health.

- Meets the public's expectation that articles based on NIH-funded research are publicly available[1].
- NIH can monitor, mine, and develop its portfolio of taxpayer funded research more effectively.
- NIH-funded research becomes more prominent, integrated and accessible, making it easier for all scientists to pursue NIH's research priority areas competitively.

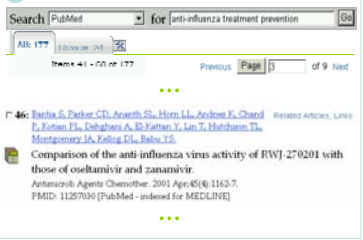
1. Harris Poll (2006) Most Americans back online access to federally funded research. Wall Street J Online Retrieved on July 20, 2006, from http://online.wsj.com/article_email/SB114893698047965609-lMyQjAxMDE2NDM4MTkzMzE2Wj.html.

Benefits of an Integrated Archive

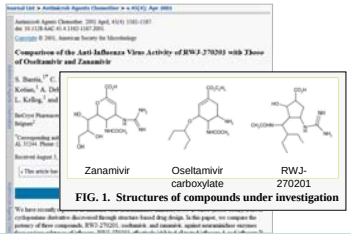


Benefits of an Integrated Archive

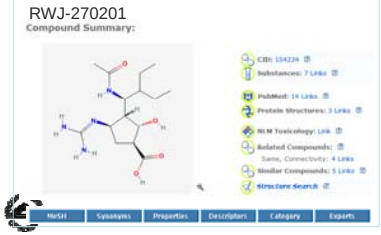
1 PubMed Search Results



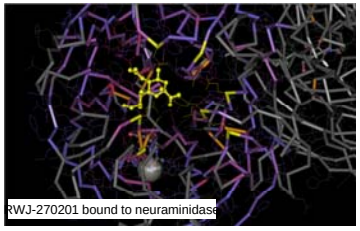
2 Chemical Structures in Article



3 Compound in PubChem



4 3-D View of Chemical and Protein



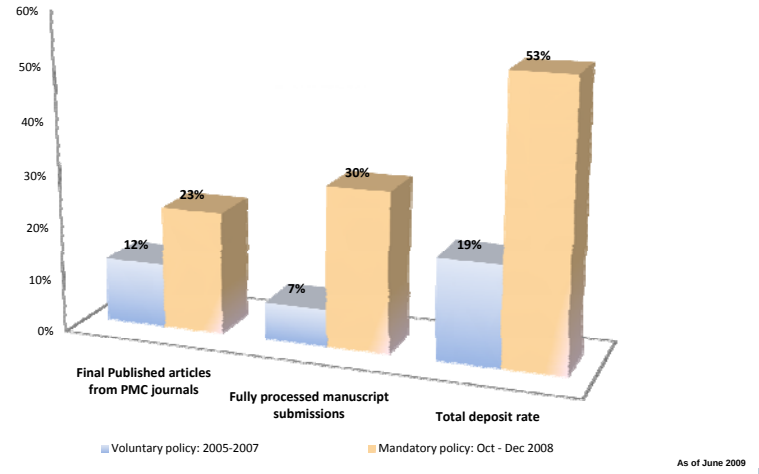
Copyright Issues

- **The NIH Policy explicitly recognizes and upholds the principles of copyright**
- **Authors and journals can continue to assert copyright in NIH-funded scientific publications, in accordance with current practice**
- **The Policy has no effect on the author's choice of journal**
- **Publishers have adopted different positions toward the Policy**
- **Since the May 2005, many publishers have amended copyright transfer agreements to obtain copyrights of Author manuscripts**

Policy History Since 2004

- 2004: NIH engaged in public discussion on a Public Access Policy
- May 2005- March 2008: The NIH Public Access Policy was a *Voluntary* request of its awardees. It collected less than 20% of targeted papers
- April 2008: The NIH Public Access Policy becomes a Requirement for all NIH awardees

Current Collection Rates



The NIH Public Access Policy Applies to Any Final 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 beyond, 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.

How Awardees Comply

- **Address Copyright**
  - Institutions and investigators are responsible for ensuring full compliance with the Public Access Policy (e.g., that any publishing or copyright agreements are consistent with submitting to PMC).
- **Deposit Paper Upon Acceptance for Publication**
- **Cite Article**
  - **Include the PMC number (PMCID)** for applicable papers in applications, proposals and reports, as described at http://publicaccess.nih.gov/citation_methods.htm.

Address Copyright

Before an author signs a publication agreement or similar copyright transfer agreement, make sure that the agreement allows the final peer-reviewed manuscript to be submitted to NIH in accordance with the Public Access Policy.

Points to consider

- What submission method will be used?
- What version of the paper will be made available on PMC?
- Who will submit the paper?
- When will it be submitted?
- Who will approve the submission?
- When can the paper be made public on PMC?

How to Submit Manuscripts

- **Four different submission methods have emerged, which vary in:**
  - Version posted
  - Use of the NIH Manuscript Submission System (NIHMS)
  - Role of Publishers
  - Role of Authors
  - Participating Journals
- **Authors may use whichever method is most appropriate for them and consistent with their publishing agreement.**

Overview of Submission Methods

	Method A	Method B	Method C	Method D
Version of Paper Submitted	**Final Published Article**	**Final Published Article**	**Final Peer-Reviewed Manuscript**	**Final Peer-Reviewed Manuscript**

Overview of Submission Methods

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Version of Paper Submitted	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
Task 1: Who deposits the paper?	**Publisher direct to PMC**	**Publisher direct to PMC**	**Author or designee, via NIHMS**	**Publisher, via NIHMS**

Overview of Submission Methods

	Method A	Method B	Method C	Method D
Version of Paper Submitted	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
Task 1: Who deposits the paper?	Publisher direct to PMC	Publisher direct to PMC	Author or designee, via NIHMS	Publisher, via NIHMS
Task 2: Who approves paper for processing?	**Not Applicable**	**Not Applicable**	**Author, via NIHMS**	**Author, via NIHMS**

Overview of Submission Methods

	Method A	Method B	Method C	Method D
Version of Paper Submitted	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
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Task 2: Who approves paper for processing?	Not Applicable	Not Applicable	Author, via NIHMS	Author, via NIHMS
Task 3: Who approves paper for Pub Med Central display?	**Not Applicable**	**Not Applicable**	**Author, via NIHMS**	**Author, via NIHMS**

Overview of Submission Methods

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Task 1: Who deposits the paper?	Publisher direct to PMC	Publisher direct to PMC	Author or designee, via NIHMS	Publisher, via NIHMS
Task 2: Who approves paper for processing?	Not Applicable	Not Applicable	Author, via NIHMS	Author, via NIHMS
Task 3: Who approves paper for Pub Med Central display?	Not Applicable	Not Applicable	Author, via NIHMS	Author, via NIHMS
Participating journal/publisher	**Method A Journals**	**Make arrangements with these publishers**	**Check publishing agreement**	**Check publishing agreement**

Details: http://publicaccess.nih.gov/submit_process.htm

Cite Articles Using PMC Numbers (PMCID)

- **Cite Paper**
  - When citing a paper in NIH applications, proposals, and progress reports, include the PMCID at the end of the full citation.
  - This requirement only applies to papers that fall under the Policy and are authored or co-authored by you or arose from your NIH award.
  - For more information see http://publicaccess.nih.gov/citation_methods.htm.

Example

Varmus H, Klausner R, Zerhouni E, Acharya T, Daar A, Singer P. 2003. PUBLIC HEALTH: Grand Challenges in Global Health. Science 302(5644): 398–399. PMCID: PMC243493

Resources

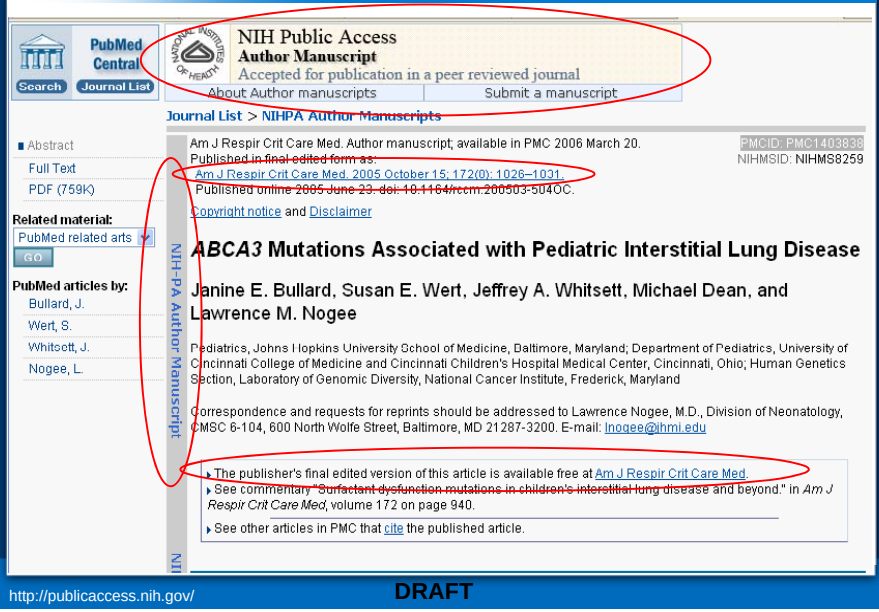
- About the Public Access Policy:
  - http://publicaccess.nih.gov/
  - NIH Guide Notice for Public Access (January 2008): http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html
  - New Guide Notice for Grantee Compliance (September 2008): http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-119.html
  - **Questions: PublicAccess@NIH.GOV**
- The NIH Manuscript Submission System
  - http://www.nihms.nih.gov/
  - Tutorials: http://www.nihms.nih.gov/web-help/
- PubMed Central:
  - http://www.pubmedcentral.nih.gov/
  - PMC Demo: http://www.ncbi.nlm.nih.gov/Education/pmc/

How to cite papers in press, or within 3 months of publication…

- For Method A and B Journals, use "**PMC Journal - In Process**".
  - Example: Sala-Torra O, Gundacker HM, Stirewalt DL, Ladne PA, Pogosova-Agadjanyan EL, Slovak ML, Willman CL, Heimfeld S, Boldt DH, Radich JP. 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
- For Method C and D Journals, use the **NIHMSID**.
  - Example: Cerrato A, Parisi M, Santa Anna S, Missirlis F, Guru S, Agarwal S, Sturgill D, Talbot T, Spiegel A, Collins F, Chandrasekharappa S, Marx S, Oliver B. Genetic interactions between *Drosophila melanogaster* menin and Jun/Fos. Dev Biol. 2006 Oct 1; 298(1): 59-70. NIHMSID: NIHMS44135
- **NIHMSIDs will not be accepted 3 months after publication.**
  - PMCIDs are assigned around the time of publication.
  - Please use the PMCID once it is assigned.

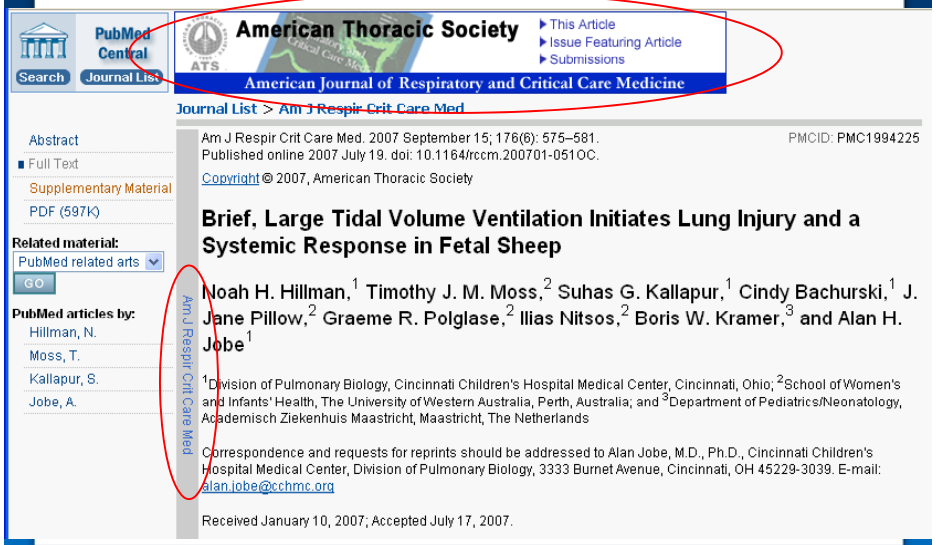
Final Peer Reviewed Manuscript, on PubMed

Final Peer Reviewed Manuscript, on PMC

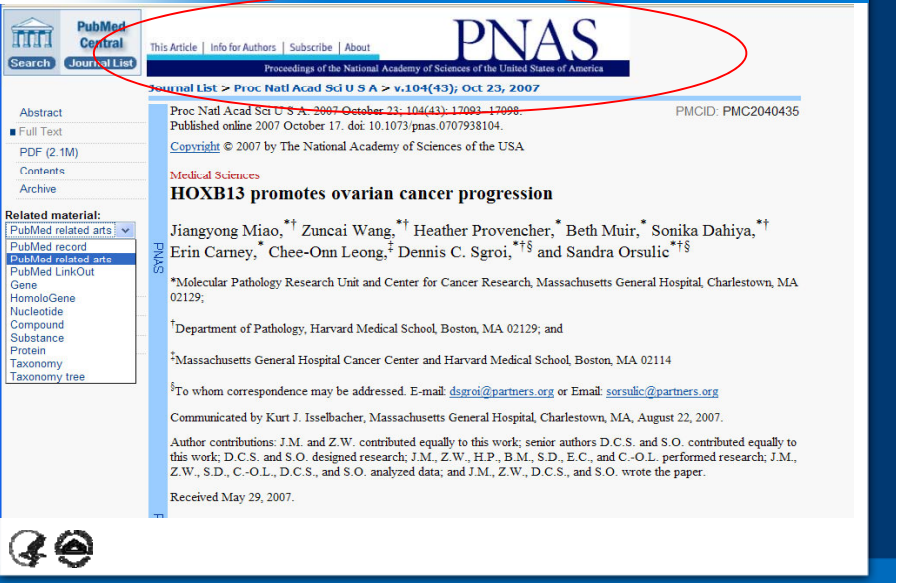


A Final Published Article on PubMed

A Final Published Article on PMC



Another Example of a Final Published Article



A Comparison of Versions