Overview

- **What is the NIH Public Access Policy?**
  - A requirement that scientists submit final peer-reviewed journal manuscripts that arise from NIH funds to PubMed Central immediately upon acceptance for publication.

- **Why comply with the NIH Public Access Policy?**
  - The NIH Public Access Policy is a Term and Condition of Award for all grants and cooperative agreements active in and after Fiscal Year 2008, and non-compliance may delay or prevent awarding of funds.

- **Who is responsible for ensuring compliance?**
  - Authors are ultimately responsible for ensuring compliance with the NIH Public Access Policy.

- **How do you comply?**
  - Ensure your publicly funded paper is deposited to PubMed Central (PMC) upon acceptance, and include the PMCID when reporting to the NIH.
  - PubMed is not the same as PubMed Central.

Sources: [https://publicaccess.nih.gov/FAQ.htm](https://publicaccess.nih.gov/FAQ.htm); [https://publicaccess.nih.gov/](https://publicaccess.nih.gov/)
What and Why of NIH Public Access Policy

Authors (generally 1st authors) are responsible for depositing their final peer-reviewed and publicly funded papers to PubMed Central upon acceptance for publication.

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

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.

Non-compliance may delay or prevent awarding of NIH funds.

Sources: https://publicaccess.nih.gov/FAQ.htm#753; https://publicaccess.nih.gov/Managing_compliance_May_regionals%202016.pptx
When and How to Comply

- When submitting a manuscript to a journal
  - Ensure you retain the legal rights to comply with public access policy

  NOTE: Authors should work with the publisher before any rights are transferred to ensure that all conditions of the NIH Public Access Policy can be met. Authors should avoid signing any agreements with publishers that do not allow the author to comply with the NIH Public Access Policy. (Source: https://publicaccess.nih.gov/FAQ.htm#777)

- When the manuscript is accepted for publication
  - Post it to PubMed Central (PMC) and track it in My NCBI and NIHMS

  NOTE: Johns Hopkins is listed under 3rd party/more login options for My NCBI and NIHMS

- When reporting the paper to NIH
  - Include the PMCID in the citation

Source: publicaccess.nih.gov/sites/default/files/Public_Access_Non-Compliance_Checklist_Oct_30_2017-FINAL_PDF_0.pdf; publicaccess.nih.gov/address-copyright.htm
PubMed Central Submission Methods

- **Method A** - auto-deposited by the journal into PMC
  - Journals that have an agreement with NIH to automatically deposit papers to PMC without author involvement.

- **Method B** - select-deposit publishers post to PMC
  - Publishers and journals have an agreement with NIH to deposit papers on a case-by-case basis. This is generally fee-based and requires that author to make arrangements with the journal for direct deposit of the paper into PMC.

- **Method C** - author deposited into NIHMS
  - The author or author designated delegate MUST deposit the final peer-reviewed paper into the NIH Manuscript Submission system (NIHMS) upon acceptance.

- **Method D** - publisher deposited into NIHMS
  - NIH has no formal relationship with these publishers. The author must confirm that the publisher will deposit the final peer-reviewed paper into NIHMS.

Sources: [https://publicaccess.nih.gov/submit_process.htm](https://publicaccess.nih.gov/submit_process.htm)
Determining Applicability and Compliance Method

- **Is the paper peer-reviewed?**
  - **YES**
  - Does the paper arise from public funding/support, i.e. NIH grant, NIH cooperative agreement, NIH contract, NIH Intramural Program, NIH employee?
  - **YES**
    - You need to comply with Public Access Policy. Inform the journal that your paper needs to comply with public access policy.
  - **NO**
    - Author action not required. Public Access Policy does not apply.
- **NO**
  - **Is the publisher found on the “Method D Publishers” list?**
    - **YES**
      - Did you arrange for the journal or publisher to deposit your paper into NIHMS?
        - **YES**
          - Use the “Determine Submission Method” identification wizard. Does the journal use Submission Method B?
            - **YES**
              - Follow NIHMS "Method B Best Practices" or "Method D Best Practices".
            - **NO**
              - Follow "Method C Best Practices" for depositing into NIHMS as the author.
        - **NO**
          - Ensure the agreements you sign with the journal do not conflict with Public Access Policy requirements.
    - **NO**
      - Author action not required for PMC deposit. However, the author is still responsible for ensuring the paper is deposited and compliant with Public Access Policy.
NIH Manuscript Submission (NIHMS) Process
PMC Submission Methods C & D

1. **Deposit Files**
   - Anyone can submit; however, an author or PI should serve as the Reviewer. Reviewers are notified of submissions via email.

2. **Initial Approval**
   - The Reviewer associates funding and approves the material for processing.

3. **NIHMS Conversion**
   - NIHMS converts complete deposits to PMC-ready documents and notifies the Reviewer via email when they are available.

4. **Final Approval**
   - Reviewer requests corrections to or approves PMC-ready documents for inclusion in PMC.

5. **PMCID Assigned**
   - A PMCID is assigned when Final Approval is complete and the manuscript is matched to a PubMed record.

6. **Available in PMC**
   - Manuscript is made available in PMC following the publisher-required embargo period (if applicable).

NIHMS Steps 1 & 2: Deposit and Approve

Method C:
- **Upon Acceptance**, deposit files into the NIHMS system.
- If you are the author or PI, then initial approval is given when depositing the files.

Method D:
- **Upon Acceptance**, ensure publisher deposits files into the NIHMS system.
- Monitor your email or NIHMS and start the approval process when you are prompted.

NIHMS Step 4: Final Approval

- Monitor your email or NIHMS account and start the final approval process when prompted
  - If you approved the PMC-ready documents, it will show a green check mark at the Reviewer’s Final Approval step.
  - If you requested corrections, it will return to the NIHMS Conversion step.

Useful Links and Email Addresses


- Submission Method Best Practices: [https://publicaccess.nih.gov/submit_process.htm#Details](https://publicaccess.nih.gov/submit_process.htm#Details)

- Publication Agreement Guidance: [https://publicaccess.nih.gov/address-copyright.htm](https://publicaccess.nih.gov/address-copyright.htm)

- FAQs:

- Email Contacts:
  - NIHMS Help: [nihms-help@ncbi.nlm.nih.gov](mailto:nihms-help@ncbi.nlm.nih.gov)
  - Public Access Policy: [publicaccess@nih.gov](mailto:publicaccess@nih.gov)