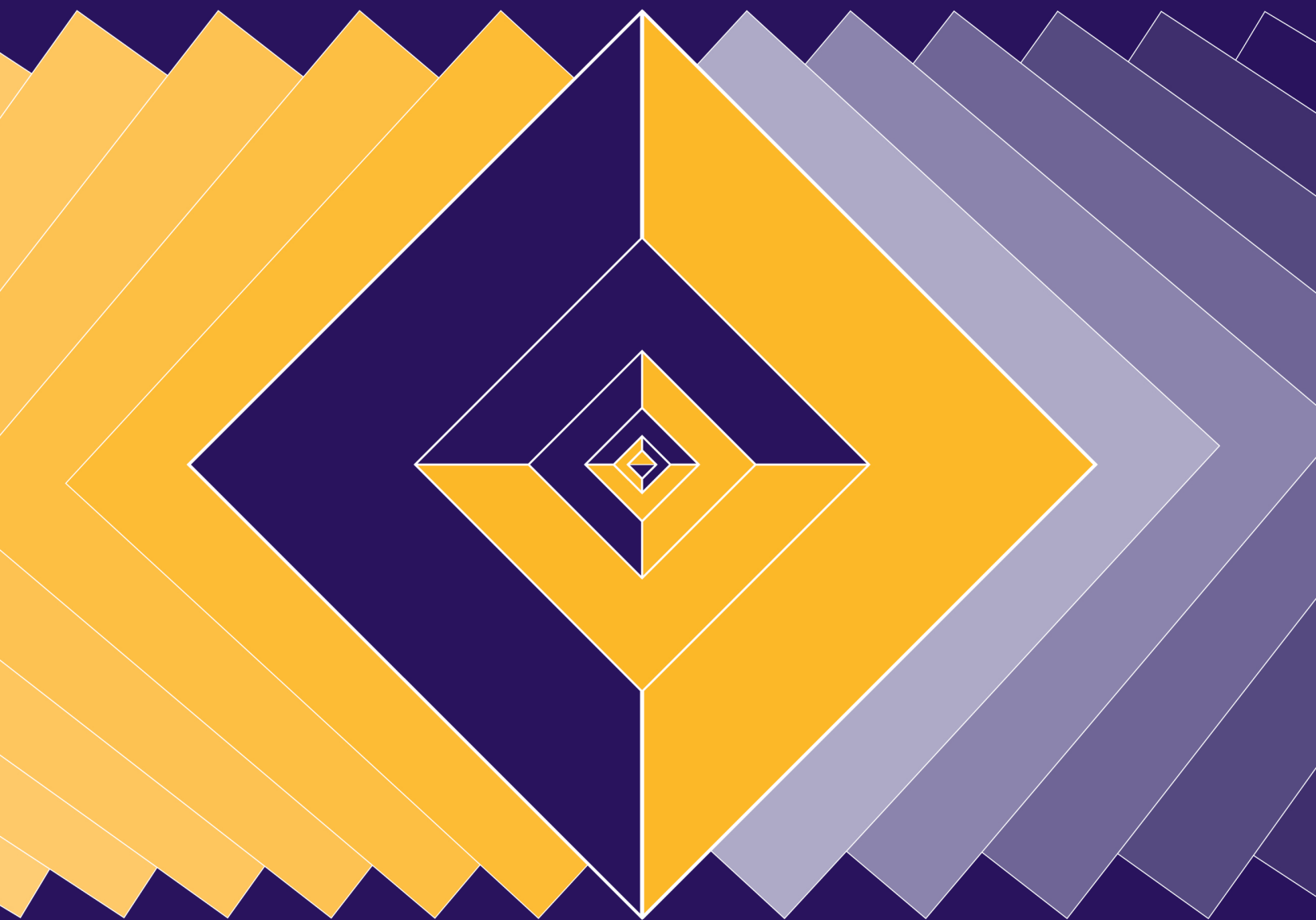




# Kit 311

Public Access Policies  
August 2009



ASSOCIATION OF RESEARCH LIBRARIES

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# SPEC Kit 311

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ASSOCIATION OF RESEARCH LIBRARIES

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## **SURVEY RESULTS**





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## EXECUTIVE SUMMARY

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### Introduction

The concept of a public access policy for research results is based on the premise that government-funded research results should be freely available without barriers to taxpayers who provide support for the funding. With the recent enactment of the US National Institutes of Health (NIH) Public Access Policy and the Canadian Institutes of Health Research (CIHR) Policy on Access to Research Outputs, much attention has been devoted to public access policies. Non-governmental entities, such as Howard Hughes Medical Institute and Autism Speaks, have enacted public access policies as well — promoting wider dissemination of research findings they fund.

In many academic and research institutions, libraries have taken the lead in developing resources and services to support authors who are required to comply with public access policies. This survey was designed to explore the role libraries are playing in supporting public access policies in their institutions. Specifically, this survey sought to identify:

- Staffing models for PAP compliance support
- Partnerships and collaborations for PAP compliance support
- Resources and services developed for PAP compliance support
- Resources used by library staff to monitor PAPs
- Challenges related to PAP compliance support.

The survey was distributed to the 123 ARL member libraries in February 2009. Seventy libraries (57%)

from 67 institutions responded by the March 23 survey deadline. Of the respondents, 63 (90%) were at libraries located within the United States and 7 (10%) were at libraries located in Canada.

### ARL Libraries and PAPs

The majority of the libraries responding to this survey provide, or plan to provide, resources and services that help authors affiliated with their institution (and/or their support staff) to comply with public access policies (PAP). Thirty-seven respondents (53%) indicated that more than one library within their system provides PAP compliance support; eleven (16%) indicated that just one library within their institution is providing PAP compliance support. Four other institutions (6%) are planning for PAP compliance support.

Of the libraries that do not provide PAP compliance support, eight (11%) indicated that this support is provided by another department or unit within their institution. Eight (11%) others responded that no PAP compliance support is offered by their institution.

In the instances where the library is not involved in PAP compliance support, respondents were asked to identify which department or unit was responsible. The institution's Office of Research and/or Sponsored Programs was the most frequently cited non-library unit (six out of eight responses).

Nineteen of the responding libraries submitted the survey at this point: 17 that do not provide PAP compliance support and two where planning for such services is not far along; 51 respondents continued.

At the institutions where libraries provide PAP compliance support, the main campus library is most often involved (76%), though a significant number

of respondents indicated that libraries supporting health professions (65%) and other types of science libraries (39%) play a role. The involvement of both the libraries supporting health professions (e.g., Medicine, Dentistry, Nursing) and the libraries supporting other sciences is not surprising, given that the current PAPs were mandated by agencies involved in the health sciences and health research (e.g., NIH, CIHR).

At seven of the 11 institutions where one library supports PAP compliance the main library provides these resources or services. At the other four, a library that supports a health profession (medicine, nursing, dentistry, pharmacy, optometry, etc.) provides these services.

In the institutions where more than one library (e.g., a main campus library and/or a health profession or other science library) provides PAP compliance support, there is evidence of coordination and cooperation between the individual libraries. A solid majority (75%) indicated that all the libraries in their system follow the same strategy or offer the same services/resources for PAP compliance support.

It is not surprising that all respondents from the US provide support for the NIH policy or that four of the five Canadians provide support for the CIHR policy, but more than half of the respondents provide support for multiple policies. These include two Canadian institutions that support both NIH and CIHR policies and ten respondents (20%) that support an institutional policy on public access. Other supported policies include the Wellcome Trust (12%) and Howard Hughes Medical Institute (10%), with one library reporting support of the Autism Speaks policy.

### **Models for PAP Compliance Support**

There was no one single organizational model for ARL libraries' PAP compliance activities. Respondents reported that the responsibility for coordinating and/or planning activities to support authors' compliance with public access policies falls either on a single individual, a committee (both ad hoc and standing), each librarian who works with authors who are subject to PAP compliance, or a combination of these individuals and groups.

At seven libraries (14%) PAP compliance activities are handled by a single individual. All but one

of these devote 10% or less of their time to those activities; the other devotes 35% of his/her time to PAP activities.

In 11 libraries, responsibility for PAP compliance activities is assumed by a committee (either ad hoc or standing). At three institutions, librarians who work with authors assume coordination or planning responsibility.

About half of the respondents report that a combination of individuals and groups shares these responsibilities. One example of a collaborative model within the library for PAP compliance support was noted by a respondent: "The Medical Center Librarian monitors developments and coordinates Web resources for authors. Librarians within medical center library provide support for deposit. Scholarly Communications Officer coordinates policy development and supports authors in retaining needed rights."

Regardless of the organizational model, the top four library activities are monitoring PAP developments, developing resources and programs, coordinating services, and consulting with authors and/or their support staff on PAP compliance. Of the libraries in which committees are responsible, coordinating PAP compliance support training of library staff is common. A less common practice among individuals or committees is providing mediated deposits for authors in the form of third-party submissions.

One interesting finding from the survey results is that "scholarly communications" is the most frequently noted term in individual position titles and either ad hoc or standing committee titles. Some examples include: "Scholarly Communication Librarian," "Scholarly Communications Specialist," "Coordinator of Scholarly Communication," "Scholarly Communications Committee," "Scholarly Communications Group of the University Libraries Council," and "Project: Scholarly Communications."

### **Partnerships and Collaborations for PAP Compliance Support**

In most instances, libraries' PAP compliance activities are coordinated with another department or unit of their parent institution. Forty of forty-three libraries (93%) reported collaborating with a unit outside of the library. Most respondents noted the other department

or unit was an Office of Research or equivalent. The most often cited units were an Office of Research, an Office of Grants and Contracts, a General Counsel's Office, or an Office of Sponsored Projects. As one respondent noted, "The Health Sciences Library director worked with the School of Medicine's Associate Dean for Research Administration and the University's Office of Sponsored Projects Administration in developing the PAP support program." In some cases, the library initiated the partnership: "The Library brought existence of NIH mandate to attention of Office of Sponsored Projects and suggested strategy to comply with it."

### **Resources and Services for PAP Compliance Support**

Though the intent in this survey was to differentiate between resources and services, no strict definition of terms was given. This resulted in significant overlap in the responses about the specific types of resources and services offered by the responding institutions. Web sites were most often referenced by respondents as resources, but group presentations and one-on-one consultations predominated whether they were designated as resources or services.

No matter what term is used to categorize activities, it is apparent from the survey that ARL libraries are drawing from a wide range of actions to support PAP compliance. Ninety percent of the respondents publish a Web site with PAP information. Almost the same number offer copyright addenda to help authors retain the right to comply. The majority of respondents employ group presentations (e.g., PowerPoint presentations, tutorials, workshops, classes). Over half of the respondents review copyright agreement forms, and between 30% and 40% responded that their institution maintains a listing of journal publisher policies, sample letters to publishers, and FAQs. One quarter of the respondents offer blogs, and an equal number offer brochures or pamphlets. In direct service to authors, slightly fewer than half provide third-party submissions to institutional repositories on behalf of authors and 28% provide third-party submission services. Selected examples of ways that responding libraries provide PAP compliance support are highlighted in the following Representative Documents section.

Personalized, one-on-one consultations stand out as the premiere means of active communication of information about PAP compliance within ARL libraries. Among the 30 respondents who track consultations the number per institution ranges from 2 to over 100. One respondent noted that one-on-one consultations are "very effective and very much appreciated by the PI." If e-mail consultations are also included, the number of faculty/staff served increases many times over. One library reported an average of 20 e-mail consultations a week and added, "These are very effective as it allows for more information to be included that can be retained for future use." Some libraries reported that consultations also involved support staff for authors: "A large portion of these consultations are with support staff who will handle deposit for many faculty members in a department."

Commonly asked questions in one-on-one consultations included: "How do I comply?" "Do I need to comply?" "How do I retain the right to comply?" "How do I find my PMCID number?" "How do I submit an article?" "What is this publisher's policy?" "Can I retroactively comply?"

Thirty libraries also reported giving classes, workshops, or presentations about PAP compliance in 2008. The number of sessions offered most often ranged between one and ten per institution; however, the number of participants reached often soared into the hundreds. Clearly, presentations (whether generic or geared to specific departments) are a popular way to communicate to institutional community members about PAP compliance.

Respondents noted some interesting examples of other services and resources, including:

- Customized list of publisher policies regarding the NIH Public Access Policy from the journals most frequently used by campus authors
- Web form for NIH-funded authors for third-party submissions by the library
- Review of citations to be included in a proposal, progress report or application to confirm that documentation of compliance is noted for applicable citations.

While preparing this report, a number of additional resources (e.g., Web sites, newsletter articles, handouts) were discovered, both from respondents that did not list these resources in their surveys and from ARL libraries that did not respond to the survey. Selected resources from respondents are noted in the Representative Documents section, and ARL libraries (respondents and non-respondents) that provide PAP compliance support are noted in the Selected Resources section.

### **Effectiveness of Resources and Services for PAP Compliance Support**

Personalized, one-on-one consultations were judged the single most effective resource or service provided for PAP compliance support. Whether the activity was described as “consultation with author,” “individual consultation,” “e-mail address for questions,” “personal interaction with individuals,” “personal contact,” “personal discussions,” or “individualized counseling,” this type of service that addressed the immediate and specific questions of an individual was rated effective most often. One respondent rated the most effective service for helping authors and/or support staff to comply with PAPs as “an expert who can answer questions and guide them through the process.” Another reported that one-on-one consultations were the most effective means of “providing reassurance about the NIH PAP.” The relative newness of the PAP mandates (especially the NIH policy), the immediate compliance requirement, and the complexity of challenges to compliance faced by authors may explain the need for such personalized service. Many authors feel their situation is unique and, thus, requires something more than a “stock” answer from a Web site or FAQ page.

Other types of face-to-face contact with authors (and/or their staff) such as presentations, classes, and workshops were also rated as highly effective. These have been standard training tools for librarians for decades, and they remain useful in reaching a larger audience at one time. As one respondent commented, “Certainly in-person presentations — either one-on-one or to a group — seem to be the most effective. This is when researchers engage with the topic. It is hard to catch their eye with an e-mail or a link to a Web site.”

Web sites and Web-delivered tools were also rated effective by a majority of respondents. Web sites with PAP information, sites or pages that link to external resources, FAQs, links to addenda or flowcharts for compliance were all judged effective by respondents. One respondent noted that their Web site was effective as “it is nice to have more detailed information available to which we can point people.” Another effective service mentioned by several responding libraries was that of mediated deposits (third-party submissions).

### **Resources Used by Libraries to Monitor PAPs**

It was clear from the survey responses that library staff members involved in supporting PAP compliance in their institutions rely on a number of different resources to stay current on PAP developments. The top resources used by librarians — listed by over three-quarters of the respondents — were Web sites of national/international organizations, electronic discussion lists, and attendance at conferences. Over 50% utilize blogs and in-house presentations, workshops, and/or discussions to stay current. Academic newsletters and RSS feeds were used by over 40% of respondents. SPARC (Scholarly Publishing & Academic Resources Coalition) was also cited as a source for current information about PAP compliance. One noteworthy response was, “Health sciences librarians have excellent access to policy enforcers at the National Library of Medicine and the National Institutes of Health. We can use these contacts to clarify compliance points, and to report problems the investigator community is having complying with the NIH Public Access mandate.”

While two-thirds of the respondents expressed contentment with the available resources for keeping current about PAP compliance, there were a number of interesting suggestions for additional resources such as blogs, webinars, and newsletters. Another suggestion was the creation of a listserv solely for librarians and administrators, to be moderated by a member of the NIH staff. It was also suggested that short, to-the-point, and direct training materials (whether online or print) be developed so that these could be more easily assimilated by busy staff members. The provision of case studies that include



“examples of the various issues and how they were resolved” was another suggestion.

### **Challenges with PAP Compliance Support**

ARL libraries listed a number of challenges encountered when helping authors comply with public access policies. Addressing the initial lack of knowledge and understanding of public access policies, on the part of both authors and library staff, was one frequently cited challenge. Some respondents related the challenge of dealing with authors who have paid little attention to copyright — authors did not understand the publisher agreements they had signed or had little knowledge of author rights in general. One library reported that most of the questions it fielded pertained to “publisher contracts and intellectual property rights in general, rather than directly related to the NIH mandate.” Clarification of journal policies was also cited as a challenge. One library reported that their greatest challenge is getting the attention of busy researchers.

In order to address some of these challenges, respondents offered a variety of solutions. Those solutions include providing copyright support services and educational programs, creating flowcharts that outline the compliance process, developing workshops for library staff, creating letters to be used for publishers, and creating lists of publisher policies. Two strategies noted by respondents to address the challenge of meeting with busy researchers were: “using familiar contact people to make the initial approach” and “library staff remaining flexible as to when and how they met with researchers.”

### **Conclusions**

Based on the responses to the survey, academic libraries have forged a prominent role in responding to PAP mandates. ARL libraries have swiftly responded to the urgent need for information about PAP compliance to the members of their university communities and, in many instances, have initiated collaborations with units outside of the library. ARL member libraries are proactively providing comprehensive PAP compliance support to authors. There is no “one-size-fits-all” resource or service that addresses the compliance challenge. It is the multiplicity of resources and services provided, such as policy overviews, compliance

guidance, training materials, FAQs, flowcharts and guides, personalized one-on-one consultations, and customized presentations, that are successfully addressing the needs of authors. As familiarity with PAPs increases over time, individual authors may have less need for specialized individualized services and resources. However, at this early stage of PAP compliance, the personalized services and resources provided by the ARL libraries are effectively addressing the needs within their institutions.

It is evident from the responses that interactions with authors who are required to comply with PAPs have allowed ARL libraries many opportunities to introduce peripheral issues such as author rights, copyright and intellectual property, open access publishing, and institutional repositories — topics not typically associated with libraries. Many libraries reported providing services and resources such as reviewing publisher copyright forms and grant applications, counseling on copyright and negotiation of author rights, creating customized addenda, establishing a fund to help pay for publisher fees, establishing or expanding institutional repositories, creating Web sites on copyright, and providing presentations on publishing and publication models. Such services and resources help to ease the burden of authors and in turn, arm authors with options for exercising control over the dissemination of their scientific discoveries and intellectual output.

One promising trend noted in the survey responses is the extent of the collaboration with units outside of the library. Respondents reported partnerships with units such as an Office of Research, Office of General Counsel, Grants and Contracts, Vice Provost of Research, Office of Sponsored Awards Management, and others. A number of libraries reported taking the initiative in reaching out to these units and in some cases, guiding the development of programs for PAP compliance support and serving as active partners. As one respondent reported, the library provides “consultation, expertise, drafting of language, and advocacy for policies in support of public access.” Another respondent noted, “The librarians tend to keep abreast of developments, provide training and assistance, and recommend procedures. The units external to the library serve more as receivers

of information than leaders in responding to it.” The responses from the ARL libraries demonstrated many successful examples of forging alliances beyond the walls of the library.

While PAPs in general are a relatively new development, the level of resources and services developed by the responding libraries and their alliance-building collaborative efforts provide a prime example of

how libraries are evolving to address the complexity of research in the 21st century coupled with the transformation of information technology. Such targeted program efforts to leverage expertise and resource sharing for PAP compliance support is evidence that libraries are poised to quickly and efficiently respond to possible future mandates, including the Federal Research Public Access Act (FRPAA).



## SURVEY QUESTIONS AND RESPONSES

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The SPEC survey on Public Access Policies was designed by Cathy Sarli, Scholarly Communications Specialist, Ellen Dubinsky, Librarian, Bob Engeszer, Associate Director, Translational Research Support, and Ruth Lewis, Biology and Mathematics Librarian, Washington University in St. Louis. These results are based on data submitted by 70 of the 123 ARL member libraries (57%) by the deadline of March 20, 2009. The survey's introductory text and questions are reproduced below, followed by the response data and selected comments from the respondents.

---

The concept of a public access policy for research results is based on the premise that government-funded research results should be freely available without barriers to taxpayers who provide support for the funding. With the recent enactment of the US National Institutes of Health Public Access Policy and the Canadian Institutes of Health Research Policy on Access to Research Outputs much attention has been devoted to public access policies. Many academic and research libraries have developed resources and services to support authors who are required to comply with these policies. What are the implications of public access policies for research libraries? Are they poised to provide resources and services to support authors in meeting these policies? This survey is designed to identify:

- Resources and services developed to support author compliance with public access policies
- Strategies used to disseminate resources and services to authors who are subject to public access policies
- Who coordinates these resources and services
- Resources used by library staff to learn about public access policies
- Partnerships and collaborations outside the library related to public access policies
- Service issues related to public access policy compliance

The results of this survey will highlight current practices related to public access policies, provide models for other libraries that are considering implementing similar activities, and offer examples of resources and services.

## BACKGROUND

### 1. Does any library in your institution provide resources or services that help authors (and/or their support staff) comply with public access policies (PAPs)? N=70

Yes, more than one library provides PAP compliance resources or services	37	53%
Yes, one library provides PAP compliance resources or services	11	16%
Not yet, but planning for such resources and/or services is in process	4	6%
No, support for such resources and/or services is currently the responsibility of another department or unit in the institution	8	11%
No PAP compliance support is offered by the institution	8	11%
Other	1	1%

A service is not provided; lists of resources are provided on webpages. The Division of Research (outside department) links to the library's pages.

If support for such resources and/or services is currently the responsibility of another department or unit in the institution, please provide the name of that department or unit and briefly describe the services and/or resources it provides. N=8

Department/Unit	Services and/or Resources Provided
It appears the Medical Colleges are taking the lead.	The College of Human Medicine provides information via a Web site. The Libraries provides information via our Web site.
Legal Affairs	Advises faculty members on compliance with the Board of Regents policy on copyright on a case-by-case basis.
Office for Sponsored Programs (OSP)	The OSP provides service to members of the Boston College community involved in the application for and administration of sponsored projects, to support the University's goal to increase the level of sponsored project funding, and to protect the University's interest in complying with the sponsored project requirements to which Boston College and sponsors may agree.
Office of Research	Web site, classes, support.
Office of Research & Sponsored Programs	General grants and contract management.
Office of the Vice Chancellor for Research	This office oversees research including grant & contract proposals, Protocol review (IRB), and training for responsible conduct in training.

Department/Unit	Services and/or Resources Provided
Office of the Vice-President for Research	The goal of the research area is to foster the growth and development of the university's research programs and facilitate the university's role as the principal research institution in the state's system of postsecondary education. The Office of the Vice President for Research leads efforts to strengthen, expand, and develop programs throughout the university. The Vice President provides oversight for multidisciplinary research centers and institutes and research support units and program assistance to individual faculty and academic research units. The Vice President is the institutional officer responsible for university adherence to governmental regulations relating to the conduct of research. Reporting to the Vice President are the offices of Administrative and Fiscal Affairs; Federal Relations; Research Communications/Odyssey; and Research Information Services. The university's Office of Sponsored Projects Administration (which reports to the Vice-President for Research) responds to questions from faculty and researchers regarding public access policies. The university Office of Legal Counsel also provides support to faculty and researchers concerning language in publication/copyright transfer agreements.
Vice President for Research, Office of Research Compliance	

If you answered yes above or if planning for such resources and/or services is in process, please complete the survey. N=51

If you answered Not yet or No above, please click the Next>> button below to submit the survey now. N=19

**LIBRARY THAT PROVIDES PAP COMPLIANCE RESOURCES AND/OR SERVICES**

2. Please indicate which type(s) of library(ies) provide PAP compliance resources and/or services. Check all that apply. N=51

Main campus library	39	76%
Library supporting the health professions (Medicine, Nursing, Dentistry, Pharmacy, Optometry, etc.)	33	65%
One or more science libraries OTHER than those supporting the health professions	20	39%
Other type of library	6	12%

**Please identify other type of library.**

All branch libraries provide advice. Library Technology Service includes one person responsible for e-scholarship@mcgill and advice is provided by this person.

All subject librarians who have researchers with NIH or HHMI funding.

Project Manager, Institutional Repository; Project Manager, Scholarly Communications. Projects are in process of being operationalized. Contact: Associate University Librarian, Collections & Scholarly Communications.

The university has thirteen libraries. They each provide different a level of service in the above area.

Services to help faculty and students with copyright, publishing and intellectual property questions/issues are provided by liaison librarians and others throughout our multi-branch system. See <http://www.library.ucla.edu/service/9846.cfm> for the gateway to information about these services.

The Science Library provides support for all sciences, including the health professions (Nursing, Public Health, Medicine).

**3. If more than one library provides PAP compliance resources and/or services, do they all follow the same strategy/provide the same resources and/or services? N=40**

<b>Yes</b>	30	75%
<b>No</b>	10	25%

**If No, please select one of the libraries and complete the survey based on that library's activities. Please indicate for which type of library you are responding. N=10**

Main campus library	5	50%
Library supporting the health professions (Medicine, Nursing, Dentistry, Pharmacy, Optometry, etc.)	2	20%
Science library OTHER than those supporting the health professions	1	10%
Other type of library	2	20%

**Please identify other type of library.**

Libraries Administration.

Projects: Institutional Repository; Scholarly Communications. Associate University Librarian, Collections & Scholarly Communications.

## PUBLIC ACCESS POLICIES SUPPORTED

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4. For which public access policy(ies) does this library provide resources and/or services? Check all that apply. N=51

National Institutes of Health	48	94%
Institutional policy	10	20%
Wellcome Trust	6	12%
Howard Hughes Medical Institute	5	10%
Canadian Institutes of Health Research	4	8%
Regional/state policy	1	2%
Other policy(ies)	7	14%

### Please identify other policy(ies).

Autism Speaks.

Columbia Libraries/Information Services' (CUL/IS) Scholarly Communication Program Web site has information specific to the NIH Public Access Policy. Another page on PAPs in general will be launched this spring. And the CUL/IS Copyright Advisory Office can address questions individual researchers have about other PAPs.

General policies to which Canadian funding agencies are working.

Institutional guidelines voted on by the Faculty Senate in May 2007.

The JHU Scholarly Communications Group has drafted a proposal for consideration by the Council of Deans under the auspices of the Dean of Libraries and the Vice Provost for Research. The proposal calls for faculty to archive their scholarship in our IR, JScholarship.

Tri-Council agency: Canadian Institutes of Health Research (CIHR); Natural Sciences and Engineering Research Council of Canada (NSERC); Social Sciences and Humanities Research Council (SSHRC). Library's role: referral, facilitator, educational (Scholarly Communications); Library's role: institutional repository: consultations, referrals, education.

We have a special program, the Open Publishing Support Fund, that supports open access in general, including public access policies.

## ORGANIZATION OF PAP COMPLIANCE ACTIVITIES

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5. Which individual or group has primary responsibility for coordinating and/or planning the library's activities to support authors' compliance with PAPs? Check the one item below that best describes the organizational structure. N=51

A combination of the individuals and/or groups below	25	49%
A single individual working as a PAP activities coordinator	7	14%
A standing committee(s)/team(s) that is charged with coordinating PAP activities	7	14%
An ad hoc committee that is charged with coordinating PAP activities	4	8%
Each librarian who works with authors who are subject to PAP compliance	3	6%
Other organizational structure	5	10%

### Selected Comments from Respondents

#### Standing Committee

The University of California Libraries have a Scholarly Communication Officers Group that conceives and supports strategies and methods to advance the UC Libraries' scholarly communication agenda. Members of this group coordinate the implementation of these programs at the campus level. At the UCI campus, the UCI NIH Group is the local committee that addresses these issues.

#### Ad hoc Committee

Ad hoc committee: refers to two Projects: Institutional Repository; Scholarly Communications Planning in progress for operationalizing. Contact: AUL, Collections & Scholarly Communications.

We have an ad hoc committee that is coordinated by a single person.

#### Combination

Each liaison librarian is responsible for working their authors, however, one individual is responsible for being the go-to guru on all aspects. In addition, the group that oversees the institutional repository also can get involved, when needed.

The Health Sciences Library director worked with the School of Medicine's Associate Dean for Research Administration and the University's Office of Sponsored Projects Administration in developing the PAP support program.

The Scholarly Communications Committee; Associate University Librarian for Collections.

There is a single Scholarly Communication Librarian who is responsible for coordinating the library's activities but the library liaisons are working with their academic department faculty to educate them about public access policies/guidelines.

We all rely heavily on expertise and services developed and offered at the medical library; there is a scholarly communications group which has some coordinating activity but mostly the medical library takes the lead.

## Other Organizational Structure

As 'Special Advisor/Liaison to the General Counsel' I provide workshops and individualized review for faculty and administrators on issues of copyright, open access, compliance.

In the Digital Programs and Technology Services (DPTS) division, there are a variety of ways in which authors' compliance with PAPs is supported. The Center for Digital Research and Scholarship runs a Scholarly Communication Program that works to educate faculty on the requirements of PAPs. The information pages on the NIH Public Access Policy that appear on the Scholarly Communication Program Web site, and outreach that was done around the NIH's policy when it was first enacted, were coordinated by an ad hoc committee with representatives from the Main and Health Science Libraries, the Office of Research, and the General Counsel's Office. The Copyright Advisory Office, also part of DPTS, educates faculty on complying with PAPs and provides assistance with questions about PAP requirements and publishing contracts. Individual librarians are also a conduit of information.

## INDIVIDUAL PAP ACTIVITIES COORDINATOR

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6. Please provide the following information about the individual PAP activities coordinator: position title and approximate percentage of time devoted to PAP activities. N=7

Assistant Director of Digital & Branch Libraries	10%
Coordinator of Scholarly Communication	—
Evelyn Schneider Endowed Chair of Scholarly Communication	10%
Head of Scholar Services	5%
Liaison Coordinator, Medical Library	5%
Scholarly Communication Librarian	2%
Scholarly Communications Specialist	35%

7. For which of the following PAP activities is the individual coordinator responsible? Check all that apply. N=7

Monitors PAP developments on the local/regional/national/international level	6	86%
Develops resources/programs to expand awareness of PAPs	6	86%
Develops/coordinates services to help authors and/or their support staff comply with PAPs	6	86%
Consults with authors and/or their support staff on PAP compliance needs	5	71%
Provides mediated deposit for authors	3	43%



Coordinates library staff PAP training activities	2	29%
Other PAP activity	1	14%

**Please specify other PAP activity.**

Educates faculty and administrative staff through presentations and individual consultations.

**8. Does this position collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=7**

<b>Yes</b>	6	86%
<b>No</b>	1	14%

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the library and other department or unit.

Department/Unit	Type of Activity
Office of Research, Office of Grants and Contracts, Office of the Executive Vice Chancellor and General Counsel	
Office of Research and Graduate Studies, Research Integrity unit	RGS and Libraries representatives met to determine how best to support PIs. The PAP resources Web page is hosted on the RGS Web site; the Libraries provided the text for the webpage, and a librarian is the point of contact for help. RGS sponsored a symposium on the NIH policy; the Head of Scholar Services was the presenter.
Office of Research and Project Administration (ORPA)	ORPA mainly handles issues having to do with compliance with PAP mandates. Miner Library (health sciences library) handles issues having to do with copyright, publisher policies, and submitting papers to open access repositories.
Research Office, General Counsel, Grants/Contracts	
This is really a probably as we are still in the development process.	

## STANDING COMMITTEE/TEAM CHARGED WITH COORDINATING PAP ACTIVITIES

9. Please provide the following information about the standing committee/team: name of standing committee/team, position title of standing committee/team leader, number of standing committee/team members. N=7

Standing Committee/Team Name	Committee/Team Leader	Members
Research Services subgroup	Professional Librarian, MSLIS	5
Scholarly Communication Committee Across Campuses	Chief Officer of Collections and Scholarly Communication	6
Scholarly Communications Committee	IDEALS Coordinator (Digital Repository Manager)	8
Scholarly Communications Committee	Director of Scholarly Communications and Instructional Support	6
Scholarly Communications Group of the University Libraries Council	Chair	6
UCI NIH Group	AUL for Collections	7
N/A	N/A	2

10. For which of the following PAP activities is the standing committee/team responsible? Check all that apply. N=7

Develops resources/programs to expand awareness of PAPs	7	100%
Monitors PAP developments on the local/regional/national/international level	6	86%
Consults with authors and/or their support staff on PAP compliance needs	6	86%
Develops/coordinates services to help authors and/or their support staff comply with PAPs	4	57%
Coordinates library staff PAP training activities	4	57%
Provides mediated deposit for authors	1	14%
Other PAP activity	1	14%

Please specify other PAP activity.

Proposal to mandate archiving of faculty scholarship

11. Does the standing committee/team collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=7

<b>Yes</b>	7	100%
<b>No</b>	—	

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the library and other department or unit.

Department/Unit	Type of Activity
Office of Research	Identification of grants that have open access contingencies.
Office of Research, Office of the General Counsel, Vice Provost for Research, various deans for research	Consultation, expertise, drafting of language, advocacy for policies in support of public access.
Office of Sponsored Awards Management	
Office of Sponsored Projects	Library brought existence of NIH mandate to attention of Office of Sponsored Projects and suggested strategy to comply with it; provided online resources to OSP to aid its understanding of the issues.
Office of the Vice President for Research and Economic Affairs, Office for Research and Sponsored Projects Administration, and Office of General Counsel	
UCI Office of Research Administration	Collaboration/partnership between the Libraries and the Office of Research Administration.
Vice Chancellor for Research (which oversees the Office of Sponsored Research)	We raise awareness with departmental libraries and library liaisons and will talk with faculty who have questions about the policy.

## AD HOC COMMITTEE/TEAM CHARGED WITH COORDINATING PAP ACTIVITIES

12. Please provide the following information about the ad hoc committee/team: name of ad hoc committee/team, position title of ad hoc committee/team leader, number of ad hoc committee/team members. N=4

Ad hoc Committee/Team Name	Committee/Team Leader	Members
CSU NIH Submission Task Force	Interim Dean of the Libraries	5
No official name	Cynthia Robinson, Director, George T. Harrell Library, Hershey Medical Center	4
Project: Scholarly Communications	Project Manager	10
The ad hoc group isn't really a committee, and it is very informal.		

13. For which of the following PAP activities is the ad hoc committee/team responsible? Check all that apply. N=4

Monitors PAP developments on the local/regional/national/international level	4	100%
Develops resources/programs to expand awareness of PAPs	3	75%
Consults with authors and/or their support staff on PAP compliance needs	3	75%
Develops/coordinates services to help authors and/or their support staff comply with PAPs	2	50%
Coordinates library staff PAP training activities	2	50%
Provides mediated deposit for authors	—	
Other awareness activity	2	50%

### Please specify other awareness activity.

The provision of mediated deposit is not an ongoing service. However, it has been undertaken in a few specific cases to ensure that authors were familiar with the process.

Institutional Repository: consults with authors. Planning underway for other possible roles.

14. Does the ad hoc committee/team collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=4

<b>Yes</b>	3	75%
<b>No</b>	1	25%

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the library and other department or unit. N=3

Department/Unit	Type of Activity
Office of Sponsored Programs, Office of General Counsel	Serve as a resource with the Office of Sponsored Programs.
Office of the VP for Research. External legal counsel were consulted to develop an addenda that could be used by authors to ensure that their publishing contracts comply with NIH policy. Worked collaboratively with Office of Research Affairs.	The University Libraries took the lead on developing information resources, creation of a Web site, and training (both one on one and groups). The Office of VP for Research undertook overall communication and compliance efforts with researchers.
Office of Research Services	ORS: provides library with information about grant holders. Library: will ensure authors' works are deposited in cIRcle (the library's IR) — in planning stage.

## COMBINATION OF INDIVIDUALS AND/OR GROUPS COORDINATE PAP ACTIVITIES

15. Please indicate which of the following individuals and/or groups has responsibility for coordinating and/or planning the library's PAP compliance support activities. Check all that apply. N=25

A single individual working as a PAP activities coordinator	12	48%
Each librarian who works with authors who are subject to PAP compliance	11	44%
A standing committee(s)/team(s) that is charged with coordinating PAP activities	9	36%
An ad hoc committee that is charged with coordinating PAP activities	6	24%
Other individual or group	10	40%

Please describe other individual or group.

An ad hoc group (no charge) with members from main library and health library provided campus presentations to introduce the NIH PAP, demonstrated the submission process via available tutorials, and answered follow up questions about PMC IDs, compliance, etc., via e-mail or phone or office visit.

CISTI is the library of the National Research Council of Canada (NRC). NRC has about 20 institutes. The activities are coordinated centrally and there are representatives at each institute.

Health Sciences Library director.

Libraries Administration.

Library assistant to help with submissions.

Medical Center Librarian and Scholarly Communications Officer coordinate compliance support together.

Office of Research Services.

One of our Science Librarians provides promotion and leads this on an ad hoc basis (also a member of the scholarly communications committee). The digital Initiatives Librarian (also a member of that committee) and her support staff. The Associate University Librarian has set up a fund within the budget to subsidize author fees.

There is a ScholarWorks Team that works together on these topics. Also, several of the library liaisons (Liaisons Council) are starting to monitor developments in their specific subject areas.

Three librarians in consultation with the Office of Research.

**16. Please indicate for which of the following PAP activities each participant is responsible. Check all that apply. N=25**

	N	Individual Coordinator N=16	Each Librarian N=12	Standing Committee N=11	Ad hoc Committee N=5	Other Individual or Group N=13
Monitors PAP developments on the local/regional/national/international level	24	12	7	7	3	7
Develops resources/programs to expand awareness of PAPs	24	11	6	9	4	9
Consults with authors and/or their support staff on PAP compliance needs	22	10	10	2	1	8
Develops/coordinates services to help authors and/or their support staff comply with PAPs	21	10	7	6	3	7
Provides mediated deposit for authors	14	3	3	3	2	5
Coordinates library staff PAP training activities	19	11	1	6	1	4
Other activity	7	2	1	1	1	3

Please specify other activity and the corresponding participant.

Participant			Other Activity
Individual Coordinator			Maintains Web site.
Individual Coordinator	Each Librarian		Web site: contributors are coordinator and librarians.
		Other Individual or Group	1. Suggested wording for faculty copyright addendum: Intellectual Property Rights Officer, Main Library. 2. Created Web pages with links to NIH PAP main page and other supporting resources: Library Specialist, Health Sciences Library & IP Rights Officer, Main Library. 3. Article in Research Administration newsletter: Health Sciences Library Director.
		Other Individual or Group	Keeps University and School of Medicine research and compliance offices updated on PAP support activities, including regular announcements in an online newsletter.
		Other Individual or Group	Promotion with Research officers and grantees in different departments, this is done by our Science Librarian (above); as described above agreements for funds to pay Public Access fees for university authors who publish with certain publishers, such as BioMed.
			Medical Center Librarian monitors developments and coordinates Web resources for authors. Librarians within medical center library provide support for deposit. Scholarly Communications Officer coordinates policy development and supports authors in retaining needed rights.
			Some individual librarians do provide mediated deposit but most refer to this service provided to all authors at our institution at the medical library; for one group of librarian staff training there is a coordinator of subject librarians.

17. Do any of the individuals or groups collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=25

<b>Yes</b>	24	96%
<b>No</b>	1	4%

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the individuals or groups and the other department or unit. N=24



Department/Unit	Type of Activity
Biomedical Library Outreach	Training, Web site, information, consultation
Groups responsible for management of intellectual property, for planning & performance management and for corporate communications	Intranet Web site, FAQ
In the sciences	Information sent to local CIHR coordinator.
Office of Grants and Contracts, Office of Research	The librarians tend to keep abreast of developments, provide training and assistance, and recommend procedures. The units external to the library tend to serve more as receivers of information than leaders in responding to it.
Office of Research	Information sharing and consultation
Office of Research	To help with publicizing the library's efforts and maintaining awareness of the resources available.
Office of Research, Office of General Counsel	
Office of Research Affairs and its Compliance Department and its Office of Grants and Contracts; University General Counsel and University System General Counsel's Office; Office of Outreach; Graduate School	Please see previous comments re NIH for the Office of Research. We have worked with the General Counsel and both the campus and university system level to share our documents on Author Rights, electronic journal MOU, the Faculty Senate motion regarding open access, and other guideline and policy documents to get their approval and to provide education about digital scholarship developments. Office of Outreach to provide education and training to their staff and faculty associated with that office regarding Author Rights, Open Access, and ways to move forward in that environment. The Office of Outreach is recommending that faculty engaged in scholarly outreach contribute their materials to our digital repository, ScholarWorks @ UMass Amherst. There is not yet a policy in place.
Office of Research Services	
Office of Research Support	Primarily promoting awareness and directing researchers to needed resources as above.
Office of Research, General Counsel	Informational correspondence with PIs; review of legal matters such as addenda.
Office of Sponsored Programs, Office of General Counsel	Scholarly Publishing & Licensing Consultant worked with OSP to speak at one of their roundtables for administrative assistants about complying with the NIH policy. OSP tracks national developments that affect grant-funded research.
Office of Sponsored Programs, Office of Grants & Contracts	OSP/OGC will monitor policy compliance. Library staff have assisted research administrators to provide evidence of submission to PubMed Central for progress reports.
Office of Sponsored Projects	

Department/Unit	Type of Activity
Office of Sponsored Projects Administration (SPA)	SPA is the university system-wide office authorized to submit research proposals and receive awards from external sources on behalf of the Board of Regents. SPA is also the fiduciary for the university on grant-related matters. They have coordinated with the libraries on providing help and information.
Office of Sponsored Projects Administration (university level); Office of Research Compliance (university level); Office of Research Administration (School of Medicine level); Office of the General Counsel (university level)	Drafted letter from the Provost and the VP of Research for authors to send to publishers along with their manuscripts stating that the university complies with the NIH Public Access mandate and requesting that the publisher deposit the published article or manuscript in PubMed Central in compliance with the policy, or grant the author the right to deposit the manuscript. Notification of presentations, workshops, and training sessions distributed electronically to the entire university research community.
Office of Sponsored Projects, Counsel's Office, Purchasing/Licensing, Department of Information Technology	
Office of Sponsored Research, the Texas Academy of Medicine, Texas Medical Center Library (HAM-TMC)	Sponsored Research lists the link to the library's webpage for assistance with NIH compliance as well as links to NIH's Web site and policies. Rice and HAM-TMC library have an ad hoc committee for scholarly communications; we've sponsored talks by NIH compliance folks to the faculty of Rice and the Houston Medical Center colleges.
Office of the General Counsel, Research Compliance	General Counsel reviewed Author Addendum. Research Compliance monitors and educates concerning mainly NIH and federal funding mandates.
Office of the Vice President for Research, Division of Research Development and Administration	We have collaborated with OVPR and DRDA on outreach and awareness raising activities to inform NIH Grantees about their new deposit obligations. That is the only role OVPR and DRDA have had in supporting compliance, and those activities only happened shortly after the policy became law.
Office of Vice President for Research	We worked together to write an e-mail telling all faculty of the new NIH policy. The e-mail came from the OVPR office and referred to the library for questions.
Research Administration	Planned for 2009: conduct a survey to check compliance rates.
University Copyright Office, Office of Research	
VP for Research, Sponsored Projects, Research Compliance, College of Medicine	Access to listserves, slot at orientation sessions, other publicity opportunities.

## OTHER ORGANIZATIONAL STRUCTURE TO COORDINATE PAP ACTIVITIES

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18. Please briefly describe the organizational structure to coordinate/plan PAP activities in this library.  
N=5

One person show.

School of Medicine Librarian worked with Office of Research - Sponsored Awards Management to coordinate info on NIH Policy and produced a Web page. Additional librarian provides one-on-one support as requested.

Several units within the Digital Programs and Technology Services (DPTS) arm manage PAP activities. The Associate Vice President for DPTS coordinates these activities with Center for Digital Research and Scholarship and Copyright Advisory Office staff. The Scholarly Communication Program advisory board, made up of the AVP for DPTS as well as the directors of the Copyright Advisory Office and Center for Digital Research and Scholarship, the Assistant Director for Collection Development, and the Head of Reference and Education Coordinator at the Health Sciences Library, also maps out plans for PAP education. Library subject specialists are often asked to advise the staff mentioned above on how to best catch the attention of faculty.

The Library's Scholarly Communication Steering Committee is responsible for coordinating and/or planning as noted. The Associate University Librarian is responsible for collection management and scholarly communication and chairs the Scholarly Communication Steering Committee.

The UC-wide eScholarship program and a consortium of campus library representatives for scholarly communication.

## RESOURCES TO SUPPORT AUTHOR COMPLIANCE WITH PAPs

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Please tell us about the **resources** the library provides to help authors and/or their support staff comply with PAPs.

19. Please indicate which of the following resources the library provides. Check all that apply. N=51

Web site with PAP information	46	90%
Web site with links to external resources	45	88%
Copyright addendum to help authors retain the right to comply	44	86%
Presentations (e.g., canned PowerPoint presentations, Breeze tutorials)	29	57%
Listing of journal publisher policies	19	37%
Sample letters to publishers (e.g., explaining the NIH Public Access Policy)	18	35%
FAQs	17	33%
Blogs	13	25%
Brochures or Pamphlets	13	25%

Newsletters	6	12%
Other resource(s)	27	53%

**Please describe other resource(s).**

A deposit flow chart describing the steps to compliance.

A Web site serves as the main gateway to information on scholarly communication. The heart of the Web site is a blog that is regularly updated with information about developing issues, policy debates, and proposed solutions. There are also links to upcoming events, UC-wide initiatives, and information and resources to aid faculty and students in answering copyright-related questions. For the blog, see <http://blogs.library.ucla.edu/ipmanagement>. In addition we offer our researchers a "helpline" (phone number and e-mail address) for their immediate questions.

Basic Web site inviting faculty to contact us for publishing/compliance advice.

Consultation with authors.

Creation and maintenance of a database providing access to publisher-specific and journal-specific compliance policies. Journals listed include subscription titles and journals in which institutional authors publish.

Dedicated e-mail address for questions.

E-mail reminders about the policy and linking to the Web site.

Guidance for third party submitters.

Handouts on bibliographic citation management software [Reference Manager and EndNote] used to comply with the NIH reporting requirements. Library staff will submit manuscripts and supporting files to PubMed Central for PIs.

Individual consultation.

Individual consultation with authors and their support staff as requested.

Individual support.

Instructional sessions.

Legal consultant (Scholarly Communications Officer) to assist in understanding and negotiating publication contracts.

Link to easy guide for determining whether or not an author is affected by the policy. This is a document created by Becker Medical Library, Washington University School of Medicine.

Listserv for questions.

Live presentations.

Mostly links to other resources.

One-on-one contacts with authors. Currently involved in a series of interviews of NIH-funded authors to determine their needs and approaches.

One-on-one help as requested.

One-on-one discussion. Web site links to other pertinent PAP Web sites such as Sherpa Romeo and FAQs.

Powerpoint chart illustrating steps necessary to submit an article to PubMed Central in compliance with the NIH Public Access Policy. The NIH Policy is also discussed in the context of publication agreements.

Speaker Series.

Teaching sessions and one-on-one meetings.

Web form for authors to list journals under consideration for placing article and library investigates publisher policy and advises author.

Web site is in preparation.

Word of mouth. Questions asked from faculty during presentations on library services.

**20. Of the resources provided, identify up to three that appear to be the most effective for helping authors at your institution comply with PAPs. N=45**

Resource 1	Resource 2	Resource 3
Addendum	Consultations	Web site
Brochures	Web site	Presentations
Certainly in-person presentations—either one-on-one or to a group—seem to be the most effective. This is when researchers engage with the topic. It is hard to catch their eye with an e-mail or a link to a Web site.	It seems the Web site has been helpful to those who have seen it, but it is not widely used.	
Consultation with authors	Web site	Brochures
Copyright addendum	Web site	Presentations
Copyright addendum Web site	Specific listings of journal publisher policies Web site	Local Web site with PAP info
Database of compliance information	Online FAQ and tutorials	Presentations/coaching
E-mail	Web site	
E-mail address for questions	Sample letter to publishers	Web site
FAQ	Link to e-mail and phone number of the Executive Director of the Center for Digital Scholarship	Easy Guide document
Handout	Personal discussions	Web site
Health Sciences Libraries Web site describing the NIH Public Access Policy with links to sample author addenda, etc.		
Individual consultation	Presentations	Web site and FAQ

Resource 1	Resource 2	Resource 3
Informational Web site	Presentation to faculty	
Libguide on the NIH submission process linked from library's webpage	Links to external resources	Word of mouth
Listserv for individual questions	Web site with links to external resources	Sample letters
NIH PAP webpage	Special Health Sciences Library newsletter issue (reprinted)	Library webpage links to external NIH resources
Office of Research Services grant applications	Individual librarian consultations	Faculty newsletter
One-on-one contacts with authors	Presentation to administrative assistants	Web site
One-on-one meetings	Publishing SMART class	Web site with PAP information
Personal interaction with individuals		
Presentations	Publishers policies	Web site
Presentations and workshops	Liaison librarians' referrals, information gathering	Individual communications by IR Coordinator and Project Manager, Scholarly Communications, with authors
Presentations to directors, managers, and authors	FAQ	Negotiations with publishers on behalf of all NRC authors
Providing a copyright addendum along with sample letter to publishers. We consider that to be one resource package.	Presentations to faculty groups	Providing the LibGuide with relevant information all in one place
Reference Manager handout	EndNote handout	Department-specific in-person presentations supported with PowerPoint slides
Referrals from office of research to the library		
SPARC's brochure: Author Rights	SPARC's brochure: Right to Research	Various printouts on NIH mandate compliance
The flow chart	Presentations and workshops	
Web form for authors to list journals under consideration for placing article and library investigates publisher policy and advises author	Reminders sent to PI listserv	
Webpage		
Web site	Links	Blog
Web site	Sample letter	Legal consultant
Web site		
Web site with information about the NIH mandate	Presentation on author rights that talks about the NIH policy	

Resource 1	Resource 2	Resource 3
Web sites	Individual consultations	Presentations to groups (not canned)
Web site	Presentations	
Web site about the NIH Public Access Policy	Instructional sessions/training: presentations and classes about the policy and how to comply with it.	Personal contact
Web site	Flowchart for Compliance	Presentations
Web site on NIH Public Access policy. Also briefly discusses copyright retention.		
Web site with links to external resources	Brochures	Publishers policies
Web site with PAP information	Listing of Journal Publisher Policies	Individual Support
Web site with PAP information	Web site with links to external resources	
Web site with PAP information.	One-on-one discussion between subject/reference librarian and affected faculty.	Departmental presentations.
Workshops	Web site	Individualized counseling

## SERVICES TO SUPPORT AUTHOR COMPLIANCE WITH PAPS

Please tell us about the **services** the library provides to help authors and/or their support staff comply with PAPS.

21. Does your institution currently provide a digital repository that fulfills the deposit requirements of a PAP? N=51

<b>Yes</b>	27	53%
<b>No</b>	24	47%

If yes, does the library manage the repository?

<b>Yes</b>	23	85%
<b>No</b>	4	15%

22. Please indicate which of the following **services** the library provides. Check all that apply. N=47

One-on-one consultation with authors and/or staff (e.g., about deposit procedures, author rights, etc.)	43	91%
Classes/workshops/presentations on compliance for authors and/or staff	34	72%
Review copyright agreement forms	28	60%
Third party submissions to institutional repository on behalf of authors	22	47%
Contact publishers on behalf of authors (e.g., explain institutional policies, clarification on submission status)	18	38%
Third party submissions to central repository on behalf of authors	13	28%
Online tutorials on how to comply with PAPs	4	9%
Other service(s)	10	21%

**Please describe other service(s).**

Check publishers' authors guidelines to determine if the publisher automatically complies with the NIH Public Access mandate, and/or will grant the author permission to deposit a manuscript.

E-mail question box.

Grant applications.

Librarians regularly review of copyright agreement forms.

Locate journal policies, provide a listing of journals that allow for NIH-funded authors to comply; customized presentations to departments, divisions or programs; review of citations to be included in a proposal, progress report or application to confirm that documentation of compliance is noted for applicable citations; contact publishers for permission to comply retroactively; to name a few.

Systemwide eScholarship repository that faculty may deposit into to meet public access requirements.

The Scholarly Communication Steering Committee assists faculty with copyright questions and use of the eScholarship Repository. Within the University of California, each campus library has an eScholarship liaison who can provide more information on eScholarship activities. Finally, the Copyright, Publishing and Intellectual Property Web site includes up-to-date resources that provide information about and assistance with intellectual property issues involved in publishing, teaching, and research.

The university has an institutional repository but depositing papers in it does not fulfill PAP requirements.

These activities are on a very limited basis.

Web site on what funders require; contact funder on behalf of author (ask questions of NIH).



## SERVICES TO SUPPORT AUTHOR COMPLIANCE WITH PAPS, CONT.

23. If classes/workshops/presentations are offered, please provide the following information for 2008: number of sessions offered, number of participants. N=30

Sessions Offered	Participants	Comments
1	40	We only held one session that was only on public access policies, and it was specific to the NIH policy. We've held other sessions (at least four) about author rights issues that touch on public access policies.
1	4	
1	20	
2	40	These have been presentations by a member of the National Network of Libraries of Medicine
2	75	
2	130	
3	120	
3	~ 70 total	The workshops were a collaboration between the Health Sciences Library, Main Library, and the Office of Research. We attended prescheduled meetings of different groups and made a short presentation. Though some researchers were enthusiastic about the policy, there was a lot of grumbling about the extra administrative headache compliance would entail.
3	10	Turn out was not large as expected. However, the classes may have been offered too soon for faculty to worry about NIH Policies. There is more concern now and I expect the faculty turnout would be much higher.
3	160	
3	60	
4	48	
4	212	OSP/OGCA staff/ School of Medicine Research Administrators Open sessions (2) in research bldg & in SPH
4	35	Presentations and workshops mostly aimed at graduate students, but have some faculty participation
5	50	
6	123	
6	91	
6	160	People want to comply, but feel overwhelmed by unfunded mandates.
6	hundreds	
9	58	32 evaluations were filled out (we didn't do them for the first class). 27/32 (84%) said the class was valuable for their job. 4/32 (13%) didn't indicate whether it was valuable or not. 1/32 (3%) said the class was not applicable to their job.

Sessions Offered	Participants	Comments
10	150	We started with presentation to an auditorium filled with administrators (about 80) and captured the presentation on video. That presentation is now available on the Web. We have subsequently done presentations for departments (average attendance 15-20). We offer regularly scheduled classes on Reference Manager and EndNote in which NIH Public Access compliance is a major component.
10	257	The numbers reflect Hershey presentations plus one videotaped presentation at University Park.
11	200	
12	150	
12	250	
14	150	
14	250	We offer one NIH Policy Class per quarter and custom presentations upon request.
20	150	Scholarly Communications workshops (includes topic: PAPs)
50	approx. 1,500	Becker Library provides two types of presentations: customized and generic. Customized presentations are very effective means of providing information about the NIH Policy.

### Additional comments

No formal classes but included in general presentations.

The library's Summary of Instructional Activity (SIA) database has recently been enhanced to facilitate the reporting of scholarly communication activities. This will allow individual librarians and library staff to track activity in a systematic way that heretofore we did not. Noting below the definition of scholarly communication we are using in the database: "Communication with a student, faculty, or staff, on a range of topics associated with intellectual property and publishing, including authors' rights, copyright, use of copyrighted materials, new scholarly publishing models and open-access initiatives, and the UC eScholarship Repository. Communication may be to an individual or groups and may occur in a variety of locations or formats, for example, in person, in an office or a classroom, or via e-mail, chat, telephone or text." For further information about the SIA database, contact Marion Peters in our Science and Engineering Library.

The NIH workshop was especially well received with lots of valuable comments and connections made among the attendees. Prior to the NIH workshop, there was general confusion about how to proceed, what it meant for them as researchers, and significant concern about how much time all these mandates take away from the actual research. We did not track the numbers of sessions or attendees—obviously need to start doing this like we do for bibliographic instruction sessions.

24. If one-on-one consultations are offered, please provide the following information for 2008: number of consultations, three most asked questions. N=30

Consultations	Three Most Asked Questions:	Comments About Consultations
2	Will the publisher allow me to deposit into PubMedCentral? Do I need to do anything special?	Consultations are often generally around copyright transfer; I tend to ask questions about the NIH mandate during that discussion.
2		Mostly needed to point authors to NIH tutorials and FAQs
3		
4	How do I find out the PMC ID number for my article? Why can't I deposit the final published article? Why is NIH doing this?	
4	1. Who is responsible for making sure this gets done? Closely related question: Can we assign a staff member to process all of these requirements? 2. What about past publications? Closely related: If I want to upload past publications, even though not required under the law, what do I have to do to clear the rights? 3. How can I make sure that my agreement with the publisher allows me to make the PMC deposit?	
4	1. Does PAP apply retroactively? 2. Did I submit correctly? 3. Do I need to submit this article?	Two were easy; two required research, but all were successfully resolved.
5	How do I get my PMC ID? Does the publisher submit my article to PubMed Central or do I have to do it? What do I submit and in what format?	One of the most frustrating issues that authors are dealing with is that they submit their manuscripts (or I submit for them) to NIHMS and there is a long turn-around period before it's entered into PubMed Central. The PIs only have their NIHMS reference number to use in their reports to NIH, but the program officers keep pushing for the PMC ID; it's a catch 22!
6	How do I submit my paper to NIH? What are the open access policies of X publisher?	They work well and the faculty appreciate the effort that we make to help them.
7	Publisher policies related to compliance.	
10	How and where to submit final peer-reviewed papers funded by NIH.	

Consultations	Three Most Asked Questions:	Comments About Consultations
10	How do I get my PMC ID number? Will my publisher deposit for me? How do I deposit my manuscript in X journal?	Thank you very much. Thank you so much, you saved me a lot of time. Thank you for pointing me in the right direction.
10	1. Why is NIH doing this? 2. How can I verify compliance? 3. Can our repository coordinate with PubMed?	
10		
10	1. How do I know what the publisher's policy is for manuscript submission? 2. Questions about paid open access offered from the publisher. 3. Use of PMC ID versus PM ID for non-competitive renewal annual report.	After the initial hands-on mediated deposit of a manuscript demonstration, the authors rarely need more instruction.
10	1. What elements of my contract can I negotiate? 2. What should I do if the publisher will not negotiate? 3. May I use the content in class or create derivative works?	Most of the questions I've received have been in the context of publisher contracts and intellectual property rights in general, rather than directly related to the NIH mandate.
12	I submitted the manuscript before the NIH Public Access mandate became law, but it wasn't accepted until after April 7, 2008. I did not ask for permission to submit the manuscript to PubMed Central myself. Can I still submit it? I have been submitting articles to the same publishers for years but I have no idea if they comply with the NIH Public Access mandate. Can you check the policies of these [12 or 20 or ...] publishers for me? My NIH progress reports have been rejected because of the format of my bibliographic citations. Can you help me fix that?	Very effective, and very much appreciated by the PI.
12	Does this (NIH) policy apply to this article?	
12	How long will it take? Are other funding agencies (besides NIH) considering a PAP? How do I get the IDs I need to use the NIH submission system?	
12	See Web site	

Consultations	Three Most Asked Questions:	Comments About Consultations
16	1. Clarification of how to use the PubMed Central ID number (PMC ID.) 2. Who is responsible for submission to NIH? - Author, PI, University, lab manager, or publisher? 3. Clarification of policy enactment dates.	
16	Does my agreement permit deposit. May I deposit older articles (often agreement not available)? How should I approach publisher about deposit?	
20	Is journal X compliant? Can someone other than the author submit the manuscript? What are PMC ID numbers?	
20	How do I comply with the NIH or CIHR mandate? What is this journal's compliance with the OA mandate? What do I do if this journal does not comply with the OA mandate?	
30	I'm publishing in ____ journal and I'm NIH funded; what do I need to do to comply? Do I need to pay the \$x thousand dollar fee for open choice (or whatever) in order to comply with NIH? I'm doing a grant request (about half the time this is HHMI) and I need to make all these references open access because that's what they say they want; help me please.	It's getting easier as many publishers clarify their procedures
35		
35	1. Applicability of a work to the NIH Policy. 2. The submission process in general. 3. How to demonstrate compliance with the NIH Policy.	Most consultations are via e-mail. The above number for one-on-one consultations are for face-to-face consultations and does not include e-mail consultations. Becker library averages about 20 e-mail consultations per week. These are very effective as it allows for more information to be included that can be retained for future use.
75		
100	How can I share my work with colleagues? How can I retain my copyright? Do I have to sign the copyright transfer agreement?	

Consultations	Three Most Asked Questions:	Comments About Consultations
120	1. How do I know if I have the copyright in my article? 2. Do I have to deposit this article in PMC? 3. What is the difference between the final author manuscript and the publisher PDF?	A large portion of these consultations are with support staff who will handle deposit for many faculty members in a department. Some of these staff choose to use the Library's deposit service and some will handle deposit themselves.
n/a	What do these options in the ACS agreement for NIH funded authors mean and which one should I choose? Isn't my publisher taking care of this for me? Does this agreement cover me in relation to the NIH policy?	Many authors do not consult because they believe their publishers are taking care of this for them.
NA		We used a train the trainer approach to train one person in each of the libraries that might be impacted by the policy to field NIH Public Access Policy questions (i.e., Science & Engineering Library, etc.)
U/A	Is there Library support for Author fees? What are the eligible journals for open access?	
unknown	How quickly can you negotiate use of the NRC Licence to Publish form with publisher X? I'm being asked to sign the publisher's Licence to Publish form, which doesn't allow for retaining the same list of rights as the NRC Licence to Publish form. Can I sign it or can I submit both forms?	
	1. Does this really apply to me? 2. What will happen if I don't do it? 3. Why is the library making me do this?	We did consultations, but didn't keep track of the number.
	Copyright technical issues	No statistics kept

Consultations	Three Most Asked Questions:	Comments About Consultations
	After learning more about open access and existing public access policies, we are asked: What can I do in my field to foster the open access movement? A related question is: How do I get started with keeping my rights so that I can publicly post my materials? After we show them DOAJ, faculty are generally impressed with what is available in their respective fields. If nothing or very little, the next question generally is: How do I go about starting an electronic journal in my field?	We share author addenda and templates for letters when we meet with faculty and graduate students. We also take that opportunity to share with them all the services that the digital repository has to offer.
	How do I comply? Does the journal automatically deposit? What's the publisher's policy? How do I upload?	

25. Of the services provided, identify up to three that appear to be the most effective for helping authors and/or their support staff comply with PAPs. N=44

Service 1	Service 2	Service 3
Actually doing it	Copyright	
An expert who can answer questions and guide them through the process	A Web site that includes publisher's policies	Presentations at departmental meeting that help faculty and administrative staff understand the background for PAP and how to comply
Classes and workshops	One-on-one consultations	Deposit assistance
Consultation	Repository submission	Workshops/presentations
Consultations	Web resources	Brochures
Consultations/answering questions/ providing reassurance about the NIH PAP	We taught several classes near the time the NIH PAP went into effect, and these were well attended.	
Database of compliance information	Online FAQ and tutorials	Presentations and coaching
Deposit in PubMed Central on behalf of authors	One-on-one consultations	Workshops
E-mail	One-to-one consultation	Web site
E-mail and phone number of person to contact with any questions	Review author agreements to confirm who should submit the article to PubMed Central (or NIHMS)	Submission into NIHMS on behalf of the author

Service 1	Service 2	Service 3
Explanation of PAPs	Application of PAPs to individual author	
FAQ	Personal consultation	Author Addenda
FAQ on copyright and author's rights	Links for Open Access sites	
FAQ on the intranet	Intranet site with information about the NRC Licence to Publish form and the NRC mandate	Numerous presentations to directors, managers and authors
Having the informational Web site tied to Research and Graduate Studies, where PIs are accustomed to going for information about research/grant compliance.	Providing a person to read/interpret publication agreements for authors/PIs	
Individual consultations	Contact publishers on behalf of authors	Contact funder (NIH) on behalf of authors
Individual consultations	Organized up-to-date information on Web sites	Availability of 3rd party submission service although it isn't actually requested that often.
Links to online tutorials; Web resources	Presentations to the research community	Individual consultations
Listserv for individual questions	NIH workshops that were jointly sponsored by the Libraries and the Office of Research	The Libraries' NIH Guide
Local Web site	Online addendum information	Providing information, directing authors to resources
One-on-one consultation to either education or resolve problems	Not a service, but the fact that the libraries are working together with the Sponsored Projects Administration office gives the libraries more exposure and thus ensures that authors will talk to librarians rather than trying to go it alone.	
One-on-one consultations		
One-on-one consultations tailored to a specific request		
One-on-one consulting	Presentations	
One-on-one interactions		
One-on-one	Publishing SMART class	Web site
One-on-one consultations		



Service 1	Service 2	Service 3
One-to-one consultation right now. However, if we had provided our group training sessions just a couple of months later than we had, the group training sessions would have worked better. At the time, the faculty were not ready to track on the changes to the NIH and other public access policies. They are now. We are working to have another group session on public access policies.		
Personal consultations	Customized presentations	Web site and related materials
Personal responses to telephone or e-mail inquiries		
Presentations. When we have presented to groups or individuals on the NIH Public Access Policy, we have been asked pointed questions and have had the sense that the information we are providing is practical and useful.	Web site: It is nice to have more detailed information available to which we can point people. We received a few e-mailed questions about the NIH Public Access Policy around the time it was enacted, but have not received any feedback since then.	
Reference Manager and EndNote classes	Publishers' policies about complying with the NIH Public Access mandate. These are constantly changing and need to be checked at the time of manuscript submission.	Quick ways to capture the PMC ID [PubMed Central ID] for inclusion in NIH progress reports and grant proposals. Articles are made public in PubMed Central on wildly varying schedules — some instantly, some 3 months after publication, some 12 months after publication, some 24+ months after publication. This means that PI's published articles need to be checked at the time the progress report or grant application is filed — very tedious.
Referring faculty to the University Libraries' NIH Web site	Directly answering e-mails and offering mediated help with NIH submission	
Referrals to appropriate source or agency	Consultations (explaining policies, IR)	Workshops on scholarly communications for staff and authors
Researching publisher deposit policies	Mediated deposit a NIH PMC	
Same as in previous question		

Service 1	Service 2	Service 3
Specific guidelines for a given mandate, such as the NIH Public Access Policy mandate	Providing service and support for institutional mandates, such as the Office of Research's mandate that research funded by that office be deposited in the digital repository ScholarWorks @ UMass Amherst.	Providing education and training workshops for faculty and librarians
The institutional Web site for PAP	One-on-one consultations for submissions	Departmental presentations
Web form for authors to list journals under consideration for placing article and library investigates publisher policy and advises author		
Web site	Training	Responding to questions from individuals
Web site on how the policy affects researchers		
Web site	Presentation	
Web site about the NIH Public Access Policy	Presentations and classes about the policy and how to comply with it	One-on-one consultation with authors and/or their staff about how to comply with the policy
Workshops	Web site	Individualized consultations

## LIBRARY STAFF EDUCATION

26. What resources do library staff use to stay current on PAP developments? Check all that apply.  
N=51

Web sites of national/international organizations	46	90%
Discussion lists	45	88%
Attending conferences	39	76%
Blogs	32	63%
In-house presentations, workshops, discussions, etc.	28	55%
Academic newsletters	24	47%
RSS feeds	22	43%

Legislative newsletters	10	20%
Other resource(s)	12	24%

**Please describe other resource(s).**

- Committees of national organizations
- Communication with other librarians who handle PAP matters. NIH staff members
- E-mail lists: SPARC IR
- I am a copyright attorney.
- Libraries have their own copyright attorney.
- Networking with other Scholarly Communication librarians
- Newsletters of professional library organizations
- NIH newsletter. Library organizations particularly AAHSL
- Sherpa/Romeo list of compliance/non-compliance by publishers to PAP
- SPARC announcements. Conference update sessions (MLA)
- Various e-updates. SPARC and CARL documents
- Webcasts from other institutions

27. Are there resources that are not currently available that library staff would find useful to help them stay current on PAP developments? (For example, professional development opportunities, training materials, shared online resources, publications, etc.) N=41

<b>Yes</b>	14	34%
<b>No</b>	27	66%

**If yes, please describe the type of resource(s) that library staff would find useful to help them stay current on PAP developments.**

A restricted e-mail listserv devoted solely for librarians and administrators who are charged with providing NIH Public Access Policy education/support to authors at their institution, with at least one member from NIH to answer questions related to the policy.

All of the above.

It would be nice if there was a newsletter or site that concentrated specifically on these policies. Once in a while someone compiles an overview of the status of PAPs in a form that is more easily digestible than SHERPA/Juliet (i.e., Peter Suber's end-of-year summary of 2008 open-access developments), but something that came out, say,

quarterly would be very helpful.

Library staff should be copied on e-mails sent directly to PIs announcing changes in policies. We now pick them up haphazardly from faculty who know we care.

More easy-to-follow handouts (bulleted lists) and training materials. Much of the current material is too dense for quick pickup by busy liaison librarians. They find things like our 'Got Rights' short and snappy workshop to be very helpful. We need to develop one like that for PAP. Regional professional development opportunities, especially given the current budget issues. Online training opportunities, such as webinars/webcasts, that are under an hour in length. Last fall's Open Access Day video was too long despite excellent content. While wanting short, quick materials, they also want to know that there are central sites to go to where they can find additional information and resources.

Online resources.

Professional development (travel has been largely eliminated due to budget restrictions).

Regular webinars to provide updates on ongoing changes to the NIH resources for help in complying with the mandate. These change frequently and it's hard to keep up with them.

Training materials. Case studies (examples of the various issues and how they were resolved). Printer-ready how-tos to present to authors at consultations.

Travel funds are currently limited; it would be ideal to send subject librarians to specialized programs.

Workshops, shared resources (training, etc.), blog (I'm not aware of any blogs devoted to this topic).

## CHALLENGES

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28. Please describe up to three challenges library staff have encountered in helping authors comply with PAPs. If possible, describe how the challenge was addressed. N=35

Challenge 1	Challenge 2	Challenge 3
Although CIHR funds author fees, the fees are considerable if authors want to publish in hybrid journals.	Establishing links with individual authors is a challenge, currently we need to go through the local CIHR liaison person to find out who's got funding.	To work more closely with the Office of Research Services.
Anger — when publisher will not permit public access and manuscript must be withdrawn.	Author not knowing that funds are needed for publication charge. PAP not in place when research funding started.	In more than one presentation, the librarian had to remind the somewhat hostile audience not to 'shoot the messenger.' There was some resistance to the responsibility of the submission falling to the P.I.

Challenge 1	Challenge 2	Challenge 3
Authors primarily want to have immediate access to the NIH submission link. They are directed to the link.	Authors want to know what a particular publisher requires for NIH research. The libraries may call or e-mail the publisher, direct the author to the Romeo/Sherpa site, etc.	
Authors want someone to handle mediated submissions and our institution is not equipped to do that.		
Confusion about author rights and copyright ownership. The Library already offers extensive copyright support services and resources, and those are valuable in educating authors on a case-by-case basis.	Confusion about the difference between the final author manuscript and the publisher PDF. In some ways this is a bigger challenge: Many publishers have policies that make it hard to comply, or permit authors to comply only under less-than-ideal circumstances. There is no solution for this except to explain, ad nauseum, that in most cases you cannot deposit the final publisher PDF in PubMed Central because the publisher does not allow it.	Confusion about which works require deposit. We created a flow chart that outlines this determination process very simply and clearly. It helps.
Copyright — use CARL documents.	Individual journal policies — SHERPA site.	General reluctance of authors.
Explaining that authors do not need to pay publisher. Authors can deposit research for free if they do it themselves.		
Faculty are uninterested in the subject, too busy to care about it, and have no incentive to change.		
Faculty member did not understand why some submissions had an unresolved status. He tried to submit them retroactively and that created problems.	A research contract signed prior to the enactment of the NIH PAP runs through 2014. Question: Do articles resulting from this funding have to be submitted? Confirmation from NIH that these articles did not have to be submitted.	

Challenge 1	Challenge 2	Challenge 3
Fear of complexity of copyright issues. Being addressed by ongoing educational program.	Maintaining awareness that author or PI must review final PMC version of articles and approve them. Working on getting notice to appropriate offices to remind authors of this obligation.	
Getting small (or large) publishers to declare what their policy is.	Getting SPARC to rethink their interpretation of the copyright side of the mandate. They have been too cautious and too reliant on the Scientific Commons brain trust.	
It's hard to describe submitting a paper to repository like PubMed Central unless you have gone through the process yourself.	Convincing an author to use an author addendum form because of fear that an article won't be accepted by a publisher.	Authors are challenged to come up with fees to publish in open access journals.
Knowledge — increase information on Web site.	Consultation — Make it clear which services the library can offer and which services the library cannot realistically provide.	
Lack of clarity in funder instructions; contact funder.	Lack of clarity in publisher agreement; contact publisher.	Sense that publishers are taking care of all of it; contact authors who receive compliance messages from NIH.

Challenge 1	Challenge 2	Challenge 3
<p>Library staff themselves do not feel adequately knowledgeable and trained with PAs to feel comfortable helping authors. We have created new brochures, targeted to the faculty audience, that they can use with faculty. We are creating more workshops scheduled for this spring, organized by broad discipline categories (humanities, social sciences, health sciences, general sciences), that both faculty and librarians will be invited to attend. We are including the liaison librarians in the creation of the workshops.</p>	<p>Many authors are concerned about their compliance with PAs, how it might affect their ability to later publish their material in scholarly journals, and what it might do to their tenure and promotion possibilities. Librarians generally are not able to help with these types of concerns so feel at a loss as to what to do or what to recommend. We have created a Faculty Senate Ad Hoc Committee that is charged with investigating the impact and implications of digital scholarship. This committee includes a member of our faculty union that deals with issues of T&amp;P. That committee will be giving a presentation to the full Faculty Senate in April, with much discussion about these issues. The Ad Hoc Committee will then be giving its recommendation for future action to the full Faculty Senate at its May meeting. <a href="http://www.umass.edu/senate/adhoc/digital_scholarship.html">http://www.umass.edu/senate/adhoc/digital_scholarship.html</a></p>	<p>Librarians hear from faculty that they are concerned about the impact of their scholarly work. They are familiar with how to measure their impact through traditional scholarly communication channels. How are we going to do this with digital scholarship. The Scholarly Communication Librarian has compiled several articles that address this topic but there is lots of room for improvement, creation of new types of materials to address this need in a clear, concise manner. This would be an excellent area in which to focus research and provide materials in the upcoming year.</p>
<p>Maintaining the currency and accuracy of the in-house-developed database of compliance information. Given that the information is a moving target, updating is continuous.</p>		
<p>Many NIH-funded authors did not fully understand the NIH Policy when it was first implemented and requested a synopsis of the NIH Policy. To address this issue, a flowchart outlining the compliance process was developed. <a href="http://becker.wustl.edu/pdf/NIHComplianceFlowchart.pdf">http://becker.wustl.edu/pdf/NIHComplianceFlowchart.pdf</a></p>	<p>Authors were reporting publisher delays in submission of NIH-funded works. Until submission is executed, NIH-funded authors have no means of demonstrating compliance with the NIH Policy unless the journal cooperates with NIH/PMC or if the author has paid a fee to the publisher. To address this concern, Becker Library worked with the Office of the Executive Vice Chancellor and General Counsel to draft language to use when contacting a publisher to clarify the submission status.</p>	<p>Some NIH-funded authors direct their office staff to be third party submitters on their behalf. To assist third party submitters, Becker Library developed a checklist for third party submitters and provided personal training on the submission process.</p>

Challenge 1	Challenge 2	Challenge 3
<p>Most faculty pay little attention to intellectual property issues and other details related to publishing. They don't read the copyright transfer agreements they sign, they don't keep track of when their article was accepted for publication, they often have a hard time putting their hands on the final author's manuscript, and they don't seem to know anyone at their publisher that they can ask questions of. They expect their administrative staff to handle the details of complying with PAP.</p>	<p>Administrative staff who are often working on a deadline and only know that they need to provide PMC ID numbers for articles cited in bibliographies attached to grant applications and progress reports. They are not familiar with PAP and don't understand that an article must first be deposited in PubMed Central before a PMC ID number is assigned.</p>	<p>The inability to find out the NIH Manuscript Submission ID numbers for publisher submitted articles and the inability to convert NIHMS ID numbers to PMC ID numbers in an automated manner.</p>
<p>No challenges. Faculty seemed to understand the policy and steps required. At the presentation, faculty agreed that they were familiar with the policy.</p>		
<p>No response from publishers — suggest other journals; suggest author contact directly.</p>	<p>Authors unaware of the policy — ongoing efforts to educate using many venues.</p>	<p>Authors unaware of their rights — ongoing efforts to educate using many venues.</p>
<p>Our university has taken the stance that following public access policies is the responsibility of the individual authors, so our role is unclear or diminished. The libraries did create an awareness campaign when the NIH policy first went into effect anyway, but not much has happened since.</p>		
<p>Publisher won't accept proposed changes. We advocate use of the SHERPA/RoMEO site, and encourage faculty to negotiate anything that might move the intellectual property rights closer to authors' benefit.</p>	<p>Cost of open access publishing. We have created an Open Publishing Support Fund to help pay for publisher fees.</p>	<p>Faculty aren't accustomed to negotiating publishing contracts. We take opportunities in group discussions and in one-to-one conversations to let them know that negotiating is possible and desirable.</p>



Challenge 1	Challenge 2	Challenge 3
<p>Resistance to the cumbersome bibliographic citation formats required by NIH in grant proposals and progress reports. Staff have worked with PIs and administrative staff to customize Reference Manager and EndNote to streamline (as far as possible) the download process.</p>	<p>Over-eager PIs want to deposit all their articles retrospectively in PubMed Central, regardless of whether or not they have the copyright permission to do so. Staff have counseled the PIs on the copyright issue, and checked the PI's lit of publications to determine if a) the articles have already been deposited to PubMed Centra, or b) the publisher has a blanket policy of allowing such retrospective deposits.</p>	<p>PIs misunderstand some publishers' accelerated PubMed Central deposit programs in which an article will be deposited earlier than the 12-month mandate in exchange for extra publication charges of, in some cases, several thousand dollars. We counsel PIs that the mandate calls for release in PubMed Central 12 months after publication, and there is no requirement to pay extra to release an article earlier than that.</p>
<p>The biggest challenge is getting the word out to PIs that they must comply and help is available. We are taking several approaches to overcome this.</p>		
<p>The challenge is trying to understand the complexities of the policies and to assist others in understanding them. Policies are new so there can be a steep learning curve.</p>		
<p>The greatest challenge is getting the attention of busy researchers. Working with the Office of Research was helpful, as researchers seem more likely to pay attention to their e-mails and they promoted our Web site on the NIH PAP to researchers. And in general, using familiar contact people to make the initial approach to groups or departments was most effective.</p>	<p>Once we got the attention of researchers, the next challenge was finding time available in their schedules during which we could present the information to them. This was solved mostly by library staff remaining flexible as to when and how they met with researchers.</p>	<p>Authors often don't pay attention to the publishing agreements they sign, so many don't know what rights they retain to their papers. This year, library staff have been making presentations to academic departments to encourage faculty to read their publishing agreements and to consider alternative publishing mechanisms such as open-access journals or depositing their work in a research repository. Funder policies such as the NIH PAP often come up during these discussions.</p>
<p>The library received many requests from authors to negotiate with publishers on their behalf. The library asked all the institutes to provide a list of their priority publishers and one master priority list was prepared from the individual lists.</p>		

Challenge 1	Challenge 2	Challenge 3
<p>There was a certain reluctance on the part of many NIH grantees to comply with the NIH PAP. They didn't see what they would get out of it and saw it as a lot of work for nothing. Luckily, after we actually showed them the process, they seemed to understand that it was just another step in publishing, and not all that difficult.</p>	<p>There was a mistaken belief among some people that, because the Library was offering assistance in complying with the NIH PAP, that it was all our idea — our fault! Education about the NIH PAP, including possible ramifications from NIH if they didn't comply, solved this problem.</p>	
<p>There's a presumption here that authors are the ones doing this compliance work. They're not — it's their assistants, grad students, research supporters, etc. Those positions turn over!</p>	<p>Publishers who don't yet know about the policy.</p>	
<p>Trying to confirm whether or not a journal submits the article directly to PubMed Central. When it's ambiguous I call AND e-mail the journal to get clarification.</p>	<p>Trying to get the PMC ID after it's been submitted to NIHMS. I've confirmed with NIH and PubMed Central that the program officer should be accepting the NIHMS ID and let the PI know the responses I get back.</p>	<p>Getting the word out that we'll submit an article on the author's behalf. We try to get the information out whenever an opportunity presents itself.</p>
<p>Uncertainty about a journal's automatic upload policy — e-mailed the journal editor and publisher but there was no reply</p>	<p>Determining the license agreement the author signed. Author tried going into the manuscript site for the journal to see if there was a copy of the license, but wasn't able to find it.</p>	
<p>Variety of publishers' copyright policies.</p>	<p>Restrictions of publishers' copyright policies.</p>	<p>Existing copyright policies take precedence over open access considerations.</p>
<p>We actually don't have a lot of people asking us about the NIH mandate; so a challenge is reaching out to faculty to make them aware of the mandate, more than helping them comply.</p>		
<p>We don't have the time to personally assist authors. We just provide information via the Web site for information on this subject.</p>		

Challenge 1	Challenge 2	Challenge 3
What are my journal's policies relative to the NIH mandate? Searched publisher's Web site, SHERPA/ROMEO, the NIH PAP FAQ, and PMC's resources.	What are the policies for finding and citing the PMC ID when a publisher deposits for the author? Searched NIH PAP FAQ.	

## ADDITIONAL COMMENTS

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29. Please enter any additional information about the library's experiences with helping authors comply with PAPs that may assist the authors in accurately analyzing the results of this survey.  
N=13

### Selected Comments from Respondents

Having their own copyright attorney in the Dean's office has helped address all the PAP issues.

Health sciences librarians have excellent access to policy enforcers at the National Library of Medicine and the National Institutes of Health. We can use these contacts to clarify compliance points, and to report problems the investigator community is having complying with the NIH Public Access mandate.

I serve on a university-level group that establishes policies and publicity to faculty. This is a type of support, but also not directly to authors.

If a library wishes to help its faculty authors comply with the NIH Public Access Policy, it is easy to act in their behalf if you set up your institution as a publisher with NIHMS. This permits easy bulk deposits, and it is not hard to sign up with NIHMS as a publisher.

It is very early in the process, so we have not had many opportunities to assess the effectiveness of current policies and services.

So far, York Libraries' has been general approach of raising awareness and promotion more than anything. To ID the authors we still have some difficulties. At the moment no coordinator has been specifically assigned to these activities. The funding of author fees will be diversified to include more publishers as we become aware of those that would be a good candidate for support or receive specific requests, for example we're looking at PLoS and Bioline. However, this will mean spreading the current resources more thinly. As we start to promote this service more widely and demand grows the expectation is that it will be necessary to put a policy in place.

The Libraries took the lead in speaking to general counsel and the Office Of Sponsored Programs and then took a step back from the process. After talking to the faculty, the Libraries assumed a coordinating and advisory role on an ad-hoc basis with individual authors. We will continue to maintain a Libguide on the NIH process and will continue to monitor any changes to the NIH submission process.

The library and the Office of the Provost co-chair a university-wide Scholarly Communication Committee that discusses issues related to PAP compliance. The library and Office of Research jointly fund the Open Publishing Support Fund. The Faculty Senate Library Committee and Research Council are interested in the issues. Because we

are about to launch an institutional repository, I've been invited to discuss a variety of scholarly publishing issues related to the IR.

The requests for assistance are not at all overwhelming; most authors seem to be dealing with this just fine. It's great to offer the service to help and faculty are so grateful for a name, phone number, and e-mail at Rice that they can contact.

The services we offered when the policy was announced seem effective. The library continues to be viewed as a support mechanism for PAP compliance and contacted for assistance with progress reports.

The UBC Library's role in scholarly communications and helping authors comply with PAPs has been investigated through two exploratory projects which are now complete: Scholarly Communications; Institutional Repository. Exactly how scholarly communications and related matters will be operationalized is to be determined.

There are faculty who are opposed to open access/public access and getting them to change their attitudes (or at least consider a more flexible attitude) would be helpful. Publishers' policies are also often difficult to interpret.

This past year, the PubMed Central manuscript submission has been an evolving process. Aspects of the submission changed between every presentation to an audience. The fluidity of the process led to some confusion and frustration for the authors.

## RESPONDING INSTITUTIONS

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University of Alberta	McGill University
University of Arizona	McMaster University
Arizona State University	University of Massachusetts, Amherst
Boston University	Massachusetts Institute of Technology
Boston College	University of Miami
Brigham Young University	University of Michigan
University of British Columbia	Michigan State University
University of California, Davis	University of Minnesota
University of California, Irvine	University of Missouri
University of California, Los Angeles	University of Nebraska–Lincoln
University of California, San Diego	North Carolina State University
University of California, Santa Barbara	Northwestern University
Canada Institute for Scientific and Technical Information	Ohio University
Case Western Reserve University	University of Oklahoma
University of Colorado at Boulder	Oklahoma State University
Colorado State University	University of Oregon
Columbia University	Pennsylvania State University
Duke University	Purdue University
Emory University	Rice University
University of Florida	University of Rochester
University of Georgia	University of South Carolina
University of Hawaii at Manoa	Southern Illinois University Carbondale
University of Illinois at Chicago	University of Tennessee
University of Illinois at Urbana-Champaign	University of Texas at Austin
Indiana University Bloomington	Texas A&M University
University of Iowa	University of Utah
Iowa State University	Vanderbilt University
Johns Hopkins University	University of Virginia
University of Kansas	Washington State University
Kent State University	Washington University in St. Louis
University of Kentucky	University of Western Ontario
Library of Congress	Yale University
Louisiana State University	York University
University of Louisville	





## **REPRESENTATIVE DOCUMENTS**





## Web Sites

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## NIH GUIDE



Quick Links

### SCAMP

- About SCAMP
- Author's Rights and Copyright
- NIH Guide
- Events and News
- Selected Resources

Beginning April 7, 2008, all Principal Investigators funded by the NIH must submit an electronic version of their final, peer-reviewed manuscripts, upon acceptance for publication, to the National Library of Medicine's PubMed Central. These must be made publicly available no later than 12 months after the date of publication.

Effective March 12, 2009, President Obama signed into law the 2009 Consolidated Appropriations Act, which includes a provision making the National Institutes' of Health (NIH) Public Access Policy permanent. The NIH Revised Policy on Enhancing Public Access requires eligible NIH-funded researchers to deposit electronic copies of their peer-reviewed manuscripts into the national Library of Medicine's online archive, PubMed Central (PMC). Full texts of the articles are made publicly available and searchable online in PMC no later than 12 months after publication in a journal.

Because institutions and investigators are responsible for ensuring that any publishing or copyright agreements concerning articles submitted are fully compliant with this new policy, the UCI Libraries are now providing assistance with copyright and publishing agreements that may arise as investigators submit articles to various journals. Assistance on these types of agreements can be obtained by contacting the UCI Libraries NIH Group at [nihgroupp@uci.edu](mailto:nihgroupp@uci.edu).

The new Public Access requirement is an important opportunity to make published research funded by NIH and written by you and your colleagues accessible to all - the public, health care providers, educators and scientists, among others. This improved access will help advance science and, ultimately, improve human health.

Principle investigators receiving NIH funds should note the following:

- The NIH Public Access Policy applies to all peer-reviewed articles that arise, in whole or in part, from direct costs funded by NIH, or from NIH staff, that are accepted for publication on or after April 7, 2008. The final, peer-reviewed manuscript includes all graphics and supplemental materials that are associated with the article.
- As of May 25, 2008, anyone submitting an NIH application, proposal or progress report must include the PMC or NIH Manuscript Submission reference number when citing applicable articles that arise from their NIH funded research. This policy includes applications submitted to the NIH for the May 25, 2008 due date and subsequent due dates.

**The University of California Office of Research and Graduate Studies' Operating Guidance on the NIH Policy:**  
<http://www.ucop.edu/raohome/cgmemos/08-05.pdf>

**University of California Letter To Publishers Regarding New NIH Policy:**  
<http://www.ucop.edu/raohome/cgmemos/08-05a.pdf>

**NIH is maintaining a list of FAQs on the Public Access Policy at:**  
<http://publicaccess.nih.gov/FAQ.htm>

**For guidance on how to submit articles, please visit:**  
[http://publicaccess.nih.gov/submit\\_process.htm](http://publicaccess.nih.gov/submit_process.htm)

**For information on retaining author's rights, depositing your article, or citations, please visit:**  
<http://www.lib.uci.edu/scamp/nih-guide-issues.html>

**NIH Public Access Publisher Policies for Top 100 UCI-Authored Sciences Journals:**  
<http://www.lib.uci.edu/scamp/nih-publisher-policies.html>  
List contains NIH publisher policies for top 100 journals to which UCI researchers contribute.

**NIH Public Access Publisher Policies for Top 100 UC-Authored Sciences Journals:**  
<http://www.lib.uci.edu/scamp/nih-publisher-policies-UC.html>  
List contains NIH publisher policies for top 100 journals to which UC researchers contribute.

**Other resources for understanding and complying with the mandate:**  
[Complying with the NIH Public Access Policy - Copyright Considerations and Options](#)  
A SPARC/Science Commons/ARL joint white paper, by Michael W. Carroll, February 2008  
[SPARC NIH Public Access Policy Implementation](#)

**For UCI research guidelines and policies, please visit:**  
<http://www.rgs.uci.edu/ora/>

**Documents from the NIH Public Access Policy Workshop:**  
[NIH Public Access Policy \(MS PowerPoint presentation\)](#)  
[NIH Public Access Policy Summary \(MS Word document\)](#)

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## NIH Public Access Policy - Tips from BML

### How the New NIH Public Access Law Affects UCSD Researchers

As of April 7, 2008, researchers receiving grant money from the National Institutes of Health (NIH) will now have to submit copies of their resulting research papers to PubMed Central (PMC) when their papers are accepted for publication in a journal. PMC will then make these papers freely available to the public no later than 12 months after publication.

[PubMed Central](#) (PMC) is the NIH's free digital archive of biomedical and life sciences journal literature.

#### How to comply with the policy:

- 1) **Address Copyright.** THIS IS THE MOST IMPORTANT STEP. Before you sign a publication agreement or similar copyright transfer agreement, make sure that the agreement allows the article to be submitted to NIH in accordance with the [Public Access Policy](#).  
*In order to comply with this requirement, UC investigators should enclose [this letter](#) signed by William Tucker, Executive Director, Office of Technology Transfer and Research Administration, University of California, Office of the President, with any articles submitted to publishers for possible publication. This letter gives notice to the publishers that if accepted for publication the article will be required by law to be posted on PubMed Central. If this letter is not submitted to the publisher at the time the article is sent in for review, it must be submitted along with any publication agreement signed by a UC investigator.*
- 2) **Submit the article to NIH.** This can be done in a number of ways:
  - a. You or someone in your organization (e.g., an assistant) may deposit a copy of the peer reviewed manuscript in the [NIH Manuscript Submission \(NIHMS\) system](#), which puts it into PubMed Central (PMC).
  - b. Your publisher may send the peer-reviewed manuscript files to the NIH Manuscript Submission system for you. In both cases above (a and b), you still will have to verify and approve the manuscript personally via the NIH Manuscript Submission system, which will send you an email message requesting this action (see [FAQ on using NIHMS](#)).
  - c. Some publishers have agreed to make the final published article of every NIH-funded article publicly available in PubMed Central within 12 months of publication (see [FAQ on journals that deposit articles](#)). For [these journals](#), you do not need to do anything to fulfill the submission requirement of the NIH Public Access Policy.
- 3) **Cite.** As of May 25, 2008, when citing an article in NIH applications, proposals, and progress reports that falls under the Policy, and was authored or co-authored by you or arose from your NIH award, you must include the [PubMed Central reference number \(PMCID\)](#). This policy includes applications submitted to the NIH for the May 25, 2008 due date and subsequent due dates. (see [FAQ on how to cite articles](#)).

#### Important dates:

- As of **April 7, 2008**, all articles arising from NIH funds must be submitted to PubMed Central upon acceptance for publication.
- As of **May 25, 2008**, NIH applications, proposals, and progress reports must include the PubMed Central reference number (PMCID) when citing an article 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.

- Articles accepted for publication before April 7: If, on May 25 or later, you cite an article that was accepted for publication before April 7, you don't have to include a PMC/NIHMS ID in your citation. The ID is required only for articles that fall under the mandatory policy, so you're not obliged to deposit all older articles that you might cite.

**Further Information and Help:**

- Upcoming workshops: September 17 - workshop at [Medical Center Library Hillcrest](#). October 29 - workshop at [Biomedical Library](#).
- Visit the [NIH Public Access Policy](#) section of the UCSD Office of Contract and Grant Administration (OCGA) Web site for further detailed information regarding this new policy.
- The NIH maintains a [Public Access website](#) with an [FAQ](#) and detailed instructions.
- To help you become familiar with the step-by-step submission process, illustrated [submission tutorials](#) are available.
- To determine publisher's policies for depositing in PubMed Central search the [SHERPA/RoMEO](#) database and the Open Access Directory (OAD) wiki, "[Publisher Policies on NIH-funded authors](#)" hosted at Simmons University.
- For HHMI researchers: information is available about [HHMI's publishing policy](#).
- For more information or questions about the NIH policy, or to arrange for a training session for your group, contact Nancy Stimson at (858) 534-6321 or [nstimson@ucsd.edu](mailto:nstimson@ucsd.edu).

Friendly URL: <http://biomed.ucsd.edu/nihpolicy.htm>

**See Also**

- [Compliance Flowchart \(PDF\)](#)
- [Chart: When to Comply \(PDF\)](#)

COLUMBIA UNIVERSITY LIBRARIES/INFORMATION SERVICES  
SCHOLARLY COMMUNICATION PROGRAM

[Home](#) > [NIH Public Access Policy](#)

<b>NIH Public Access Policy</b>
<a href="#">The Policy and Your Research</a> <a href="#">Retaining Your Rights</a> <a href="#">Complying with the Policy</a> <a href="#">How Columbia Can Help</a>
<b>Publishing Options</b>
<a href="#">Open Access</a> <a href="#">Manage Your Copyrights</a>
<b>Campus Partnerships</b>
<b>Research Repositories</b>
<b>About</b>
<a href="#">What Is Scholarly Communication?</a>
<b>Events</b>
<a href="#">Events Calendar</a> <a href="#">Past Events</a>

## NIH Public Access Policy

 [Print](#)

As a result of an important new federal policy, peer-reviewed articles that result from National Institutes of Health (NIH) funding will now be readily accessible to other researchers and members of the public. Researchers funded by NIH are now required to submit a copy of their peer-reviewed journal articles to [PubMed Central \(PMC\)](#) upon acceptance for publication, to be made publicly available no later than 12 months after publication.

You may be responsible for some steps of implementing this policy. In particular, if you receive NIH funding and prepare an article for publication, you should:

- Upon submission of the article, notify the publisher that it is subject to the NIH Public Access Policy.
- Upon acceptance of the article, ensure that the publication agreement reserves to you the right to send the manuscript to PubMed Central.
- Upon acceptance of the article, submit the final peer-reviewed manuscript to PubMed Central.
- Upon your next submission to NIH, include in the application the identification number (called a "PMCID") for your previous NIH articles, demonstrating your compliance with the Public Access Policy.

Compliance is not merely a federal requirement. Completing these steps will facilitate making your article widely available for readers and researchers and may enhance the influence of your research. Appropriate offices of Columbia University are available to assist with these procedures.

### Overview

Articles based on NIH-funded research that are accepted for publication on or after April 7, 2008, must be deposited in PubMed Central, and made available to the public via PubMed Central, within 12 months of publication.

Researchers submitting requests for funding to the NIH must include the PMCID number for all cited articles falling under the Public Access Policy and which they authored or coauthored, or which arose from the researcher's NIH grant.


See the [NIH's Public Access site](#) for background on the policy and an [FAQ](#).




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[Sitemap](#)

Columbia University Libraries/Information Services



**Duke University  
Medical Center Library**



Catalog | All Journals | E-Journals | MEDLINE | Clinical Tools | Ask a Librarian | Search

Main Page » Overview » + ADD THIS

**Overview**

The National Institutes of Health (NIH) **Public Access Policy** became effective **April 7, 2008**. Under federal law, NIH now requires that the author's final version of any peer-reviewed journal article resulting from NIH-funded activities must be submitted to the PubMed Central (PMC) repository, where it will be made available to the public within 12 months after the journal article is published. This new policy has several compliance issues that Duke authors need to address.

**Update (March 12, 2009):** President Obama has signed into law the 2009 Consolidated Appropriations Act, which includes a provision making the NIH Public Access Policy permanent. [Read more ...](#)

**NIH Publication Policy**

This is a copy of the letter sent to NIH-funded Duke researchers and authors outlining the new policy.

**Copyright**

Duke authors must ensure that agreements with publishers permit the submission of the author's manuscript to NIH.

- Submit this letter with your manuscript alerting the publisher to the fact that the manuscript is subject to the NIH policy and Duke University expects them to comply with the policy.
- There is also suggested wording that you can add to a publisher's agreement to ensure that you can fulfill the NIH policy.
- You can review your contract language with Duke's Scholarly Communications Officer, *Kevin L. Smith* (919-668-4451).
- Check the SHERPA RoMEO database for a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.
- The Medical Center Library & Archives will provide links to publishers' policies in the future.

**Submission of Your Manuscript**

For peer-reviewed manuscripts accepted for publication on or after April 7, 2008, Duke authors must submit the final version of the peer-reviewed manuscript, and accompanying files, to the **NIH Manuscript Submission System (NIHMS)**.

- The NIHMS system is very easy to use.
- Submission can be done by the Principal Investigator or author or a third party in their lab or department.
- The Medical Center Library & Archives also offers a **submission service** for Duke authors across the entire University.
- Some publishers will submit the final publisher version for authors. [See list](#)
- The Medical Center Library is working on a list of other publishers' policies.

Some publishers are charging fees to do this for you. In those instances you can avoid paying the fee by submitting the manuscript to PubMed Central yourself. The NIH submission process is simple and easy, or you can use the **Library's system** cited above. Paying the publisher is NOT necessary.

**Citing PubMed Central (PMC) ID Numbers**

When your manuscript is submitted to NIH, you will receive a **NIHMS ID number**, and once it is available in PubMed Central, it will be assigned a **PMC ID number**.

Effective May 25, 2008, you will need to cite the PMC ID or NIHMS ID numbers for your articles that you cite in your progress reports, new applications, and renewals. These are only needed for articles accepted for publication on or after April 7, 2008, but you may include PMC ID numbers for articles already in PubMed Central as well.

PMC ID numbers can be found in PubMed and in PubMed Central. The PMC ID number begins with **PMC** and appears in the lower left of the PubMed citation in the *Abstract* display option.

NIHMS ID numbers can also be found in PubMed Central and in PubMed in the MID (Manuscript ID) field when viewing the citation in the *MEDLINE* display format.

The Medical Center Library can help you find these numbers, if you need assistance.

If you publish through a journal in the list of **Journals That Submit Articles To PubMed Central**, you may indicate "*PMC Journal - In Process*" until the PMCID is available. There might be a slight delay in assignment of a PMCID even for those publishers working with NIH. By using this phrase, you are letting the NIH program officer know that your article will be in compliance with the new policy.

**Finding PubMed Central (PMC) ID Numbers**



- National Library of Medicine: *Technical Bulletin*
- PubMed and PMC ID Citations
- NIHMS ID Number in PubMed

**Policy Applications**

**Applies to "All Investigators Funded by NIH"**

- Directly or indirectly resulting from NIH funded research or contract
- Supported whole or in part with direct costs
  - Research grant and cooperative agreements
  - Contracts
  - Career development awards
  - All Kirschstein National Research Service awards
  - Intramural grants
  - If NIH pays your salary
- Original primary research

**Applies to "All Final Peer-Reviewed Articles"**

- Electronic version of manuscript
- With all the edit made during peer review
- But NOT the final published version with copy editing, stylistic changes and editing
- Use of the final PUBLISHED version requires permission from the publisher
  - Do not download the PDF from the journal site unless you have permission
- Submit whether or not it is indexed in MEDLINE/PUBMED

**Does NOT apply to:**

- Books
- Book chapters
- Editorials or correspondence
- Non peer-reviewed articles
- Articles in trade magazines
- Abstracts or proceedings
- Multimedia or other type of publications

**Results of Non-Compliance**

What will happen if you do not comply?

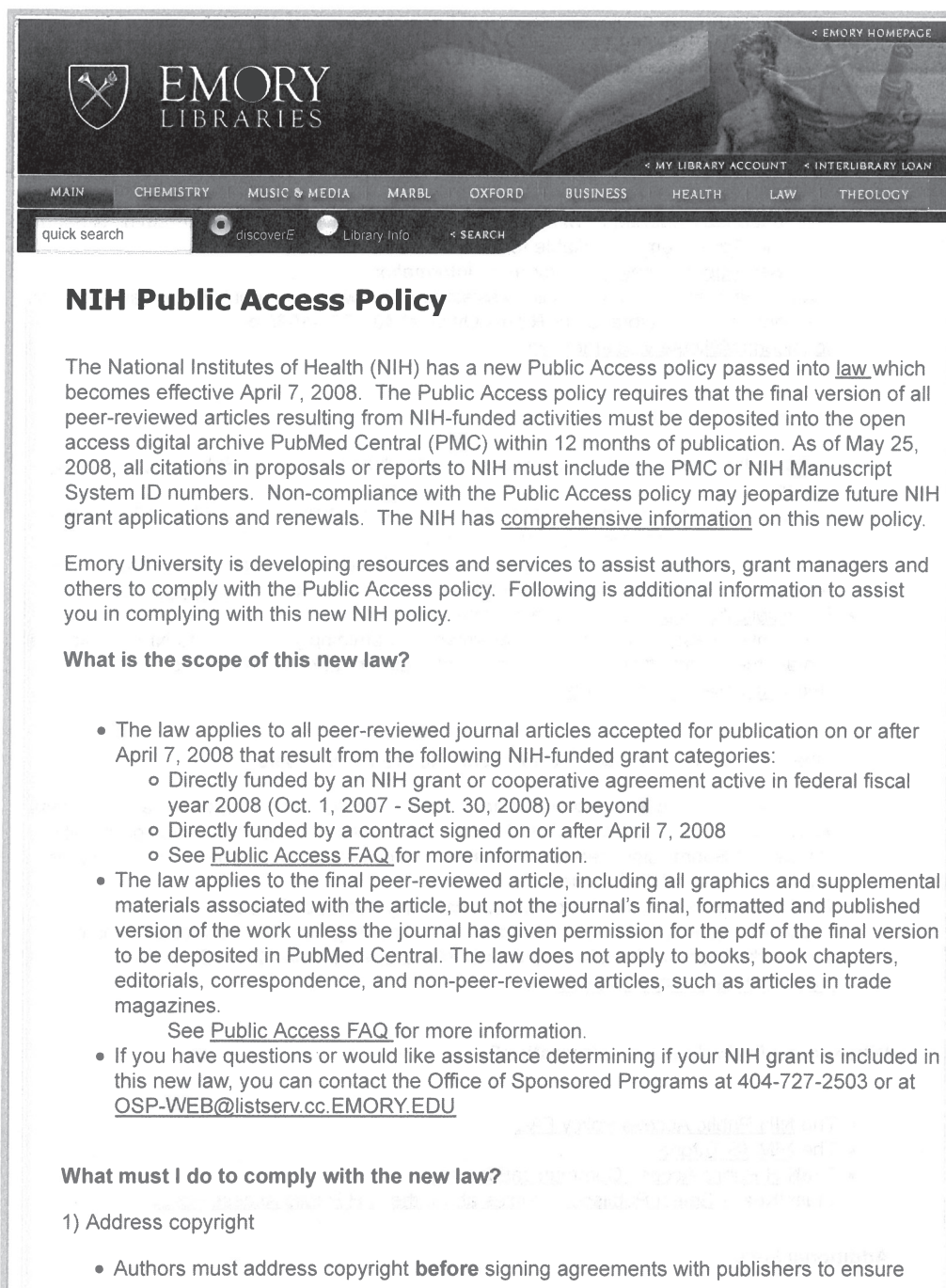
*"Compliance with the NIH Public Access Policy is not a factor in the scientific and technical merit evaluation of grant applications. Non-compliance will be addressed administratively, and may delay or prevent awarding of funds."*

From the NIH Public Access Policy FAQ: <http://publicaccess.nih.gov/FAQ.htm#b9>



Questions? (919) (919) 660-1150 [thibo001@mc.duke.edu](mailto:thibo001@mc.duke.edu) DUMC 3702 Durham, NC 27710 USA  
<http://www.mclibrary.duke.edu/nihpolicy> Last modified: 3-13-2009  
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Comments



The screenshot shows the Emory Libraries website interface. At the top, there is a navigation bar with the Emory Libraries logo and the text "EMORY LIBRARIES". To the right of the logo, there are links for "EMORY HOMEPAGE", "MY LIBRARY ACCOUNT", and "INTERLIBRARY LOAN". Below the navigation bar, there is a search bar with the text "quick search" and a "SEARCH" button. The main content area is titled "NIH Public Access Policy". The text explains that the National Institutes of Health (NIH) has a new Public Access policy passed into law, which becomes effective April 7, 2008. The policy requires that the final version of all peer-reviewed articles resulting from NIH-funded activities must be deposited into the open access digital archive PubMed Central (PMC) within 12 months of publication. As of May 25, 2008, all citations in proposals or reports to NIH must include the PMC or NIH Manuscript System ID numbers. Non-compliance with the Public Access policy may jeopardize future NIH grant applications and renewals. The NIH has comprehensive information on this new policy.

Emory University is developing resources and services to assist authors, grant managers and others to comply with the Public Access policy. Following is additional information to assist you in complying with this new NIH policy.

**What is the scope of this new law?**

- The law applies to all peer-reviewed journal articles accepted for publication on or after April 7, 2008 that result from the following NIH-funded grant categories:
  - Directly funded by an NIH grant or cooperative agreement active in federal fiscal year 2008 (Oct. 1, 2007 - Sept. 30, 2008) or beyond
  - Directly funded by a contract signed on or after April 7, 2008
  - See [Public Access FAQ](#) for more information.
- The law applies to the final peer-reviewed article, including all graphics and supplemental materials associated with the article, but not the journal's final, formatted and published version of the work unless the journal has given permission for the pdf of the final version to be deposited in PubMed Central. The law does not apply to books, book chapters, editorials, correspondence, and non-peer-reviewed articles, such as articles in trade magazines.  
See [Public Access FAQ](#) for more information.
- If you have questions or would like assistance determining if your NIH grant is included in this new law, you can contact the Office of Sponsored Programs at 404-727-2503 or at [OSP-WEB@listserv.cc.EMORY.EDU](mailto:OSP-WEB@listserv.cc.EMORY.EDU)

**What must I do to comply with the new law?**

- 1) Address copyright
  - Authors must address copyright **before** signing agreements with publishers to ensure



that the agreement allows submission of the peer-reviewed article to PMC.

- Authors may amend the publisher agreement using the following language if the agreement does not have a similar clause:
  - Addendum: Journal acknowledges that Author retains the right to provide a copy of the final 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.
  - This amendment can be made by inserting over your signature "Subject to the attached Addendum" with the above wording serving as the Addendum. A pdf of this [Addendum](#) is available for your convenience.
  - See [Public Access FAQ](#) for more information.
- If you have questions or would like assistance reviewing your publisher agreement, you can contact Emory Libraries IP Rights Office at 404-727-1535 or [scholcomm@listserv.cc.emory.edu](mailto:scholcomm@listserv.cc.emory.edu).

## 2) Submit the article to NIH

- You can deposit the peer-reviewed article in the [NIH Manuscript Submission \(NIHMS\) system](#)
- The journal publisher can submit the peer-reviewed article for you in NIHMS (however, the publisher may charge a fee for this service).
- For publishers which have agreed to submit the final published article to PMC, you do not need to do anything. See the Public Access website for a [list of these journals](#)
- See [Public Access FAQ](#) for more information
- If you have questions or would like assistance submitting your article to NIHMS, you can contact the Woodruff Health Sciences Center Library at 404-727-8727 or [medref@listserv.cc.emory.edu](mailto:medref@listserv.cc.emory.edu)

## 3) Cite the PMC or NIH Manuscript Submission Reference Numbers

- As of May 25, 2008, when citing an article in NIH applications, proposals, and progress reports, you must include the PubMed Central reference number (PMCID) or the NIH Manuscript Submission Reference Number, which is generated when a manuscript is submitted to the NIHMS system.
- The PubMed Central ID may be found searching PubMed Central.
- If you have questions or would like assistance locating PubMed Central IDs, you can contact the Woodruff Health Sciences Center Library at 404-727-8727 or [medref@listserv.cc.emory.edu](mailto:medref@listserv.cc.emory.edu)

## Where can I find additional information?

- The [NIH Public Access Policy FAQ](#)
- The [NIMHS Tutorial](#)
- The [NIH Public Access Communications site](#)
- DigitalKoans [Select Publisher Policies about the NIH Public Access Policy](#)

## Additional links

The screenshot shows a web page titled "NIH Public Access Policy" from the University of Iowa Libraries. The page is structured with a header, a navigation menu, a main content area, and a sidebar. The main content area is divided into sections: "Learn more", "Links", "Overview", and "Hardin Library". The "Overview" section contains the core information about the NIH Public Access Policy, including a definition, a compliance deadline of April 7, 2008, and a list of steps for compliance. The "Hardin Library" section features a photograph of the library building and contact information. The sidebar on the left provides additional resources and links. The page footer includes a disclaimer about the content being powered by Springshare.

**THE UNIVERSITY OF IOWA LIBRARIES** LibGuides Home

Find Resources ▾ Services ▾ My Personal Library ▾ About the Libraries ▾ Help ▾ Campus Libraries & Hours ▾ Contact Us ▾

UI Libraries Home » LibGuides Home » NIH Public Access Policy Admin Sign In

## NIH Public Access Policy

The NIH Public Access Policy ensures that the public has access to the published results of NIH funded research.

Last update: Mar 31, 2009 URL: <http://guides.lib.uiowa.edu/nihpublicaccess> Print Guide SHARE

NIH Public Access Policy Retain your copyright Submit the article Cite articles in your grant applications FAQ

NIH Public Access Policy Print Page Search Guides Go

### Learn more

- UI Libraries' Scholarly Communication site
- Take a class
- Request a presentation for your department or lab
- Ask a Librarian

### Links

- NIH Public Access
- NIH Public Access Frequently Asked Questions
- NIH Manuscript Submission (NIHMS)
- NIHMS Tutorials
- NIHMS Frequently Asked Questions

Comments (0)

### Hardin Library



Hardin Library for the Health Sciences

### Overview

The NIH Public Access Policy ensures that the public has access to the published results of NIH funded research. It requires scientists to submit *peer-reviewed journal articles* that arise from NIH funds to the digital archive PubMed Central. The Policy requires that these articles be accessible to the public on PubMed Central to help advance science and improve human health.

**Are you required to comply?**

If your article was accepted for publication before April 7, 2008, or is based on research funded by a grant that expired in FY 2007 or earlier, you do not need to comply with this law. Otherwise, if your article was accepted on or after April 7, 2008, you must submit your manuscript to PubMed Central. NIH has a thorough FAQ that can answer many questions, as well as tutorials that can show you what to do.


**How to comply**

- If your article is published in a journal that submits articles to PubMed Central, no further action is needed to comply.
- For articles published in other journals:
  - Retain your copyright.
  - Submit the final peer-reviewed manuscript.
- Cite articles in your grant applications using PubMed Central reference numbers.

In all cases, the PI is responsible for ensuring compliance with the NIH Public Access Policy.

Comments (1)

### Hardin Library



Hardin Library for the Health Sciences

**Online Chat / Networks:**



**Contact Info:**  
600 Newton Rd.  
Iowa City, IA 52242-1098  
[lib-hardin@uiowa.edu](mailto:lib-hardin@uiowa.edu)  
319-335-9151  
[Send Email](#)

**Links:**  
[Website / Blog](#)  
[Profile & Guides](#)

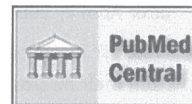
Powered by Springshare; All rights reserved. Report a tech support issue.  
View this page in a format suitable for printers, mobile devices and screen-readers.

## Scholarly Publication - MIT Libraries

Retaining rights & increasing the impact of research

### NIH Public Access Policy: Details for MIT Authors

On January 11, 2008, the National Institutes of Health ("NIH") adopted a revised—and now mandatory—Public Access Policy that requires all NIH-funded investigators to submit their final, peer-reviewed manuscripts to the NIH's [PubMed Central \(PMC\)](#) database (the digital archive of biomedical and life sciences journal literature) upon acceptance for journal publication.



Compliance with the policy is a term and condition of all grants and cooperative agreements active in Fiscal Year 2008 or beyond, and for all contracts awarded after April 7, 2008.

The new policy implements a Congressional statutory directive under which:

*The Director of the [NIH] shall require that all investigators funded by the NIH submit or have submitted for them to [PMC] 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.*

NIH has now revised its [home page](#), [FAQ](#), and [Public Access Policy](#), describing the new mandatory submission process.

#### **An overview for members of the MIT community who receive funds from NIH:**

- [Step by Step Guide for Complying](#)
- [Timing and Grants Affected](#)
- [Publisher Agreements and Copyright](#)
- [Submitting to PubMed Central](#)
- [PubMed Central Reference Numbers](#)
- [Publication Costs](#)
- [Compliance Flowchart](#)

#### **Step by Step Guide for Complying With the NIH Public Access Policy**

- In addition to the summary below of the main aspects of the policy, there is a [step-by-step overview](#) of the actions authors need to take in order to comply.

## Timing and Grants Affected

- The policy applies to all peer-reviewed journal articles that are accepted for publication on or after April 7, 2008.
- The policy applies to articles based on work funded by an NIH *grant or cooperative agreement* active in FY08 (10/1/07-9/30/08) or beyond; and articles based on work funded by an NIH *contract* signed on or after April 7, 2008.
- Principal Investigators and their institutions are responsible for ensuring that articles that arise directly from their awards, even if the PI is not an author or co-author, are submitted to PubMed Central in accordance with the policy.

## Publisher Agreements and Copyright

- It is essential for authors to ensure that any publication agreement they sign allows the final, peer-reviewed manuscript to be submitted to PubMed Central in accordance with the policy.
- From the NIH FAQ: "Authors should avoid signing any agreements with publishers that do not allow the author to comply with the NIH Public Access Policy."
- If a journal presents an author with a copyright transfer agreement, the author should not sign it if it does not allow the author to submit the final, peer-reviewed manuscript to PubMed Central within 12 months of the publication date.
- Authors should attach an amendment to the publisher's transfer agreement that will allow them to comply with NIH requirements.
  - See the [Step by Step Guide](#) for details.
  - A grid summarizing key publishers' practices in relation to the NIH policy is available by emailing [Ellen Duranceau](#), Scholarly Publishing & Licensing Consultant, MIT Libraries.
  - Authors may also want to read the article [PubMed Central Deposit and Author Rights](#), which offers an overview of 12 publishers' agreements in terms of the NIH policy and related author rights (accurate as of 8/8/08; please note, publisher policies do change over time).

## Submitting to PubMed Central

- Submitting to PMC is required even if you publish in an open access journal, or if the article is freely accessible on the publisher's website.
- The author's requirements related to submission depend on which journal the author is publishing in: See the [Step by Step Guide](#) for details.

## PubMed Central Reference Numbers

- Authors and PIs should begin collecting PubMed Central reference numbers as well as NIH Manuscript Submission System reference numbers as proof of deposit. As of May 25, 2008, these numbers will be required in all progress reports, proposals, and grant applications when citing papers that arose from

your NIH award.

- **NIH Manuscript Submission System Reference numbers (NIHMS IDs) will be supplied to authors via email** from the NIHMS system, when they are asked to approve the submission and release of the manuscript. These will be important to use as references prior to the point that the article appears publicly in PMC.
  - **If the publisher partners with PMC, no NIHMS ID will be created.** Authors should instead reference the PMID, but this will be available only if the article is publicly visible in PMC (see next bullet). For articles published by partner publishers which are not yet publicly visible in PMC, authors should indicate "the PMC ID is not yet available." (New instructions for this situation are expected in late April or May 2008.)
- **PubMedCentral Reference Numbers (PMIDs) can be found in three ways:**
  - By searching [PubMed](#) and looking at the end of the abstract.
  - By searching [PubMed Central](#) and looking at the end of the citation, if the article is publicly available.
  - By searching PubMed Central and looking near the top of the fulltext of the article, if the article is publicly available.
  - NIH also offers a [tool to convert PMIDs into PIDs](#) and vice versa.

## Publication Costs

- NIH will allow PIs to pay open access publication costs from grant funds, though NIH is not budgeting additional funds for this purpose.
- See the [Step by Step Guide](#) for details.

## Compliance Flowchart [from Washington University]

- Washington University in St. Louis Medical Library has prepared a flowchart: "[Complying with the Revised NIH Public Access Policy.](#)"

For further information please contact:

***Ellen Finnie Duranceau / Scholarly Publishing & Licensing Consultant / MIT Libraries / x38483 / [efinnie@mit.edu](mailto:efinnie@mit.edu)***

otherwise noted.





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## NIH Submission Policy

Posting Manuscripts to PubMed Central for NIH-funded Research

Federal legislation is now in effect which mandates that researchers funded by NIH grants awarded April 2008 or after must submit an electronic version of final, peer-reviewed articles within 12 months of publication.

It takes only about 10 minutes to submit a manuscript. It is our recommendation that the submissions are made by authors who are responsible for the final revisions of the manuscript(s) and who have access to NIH grant numbers.

Below is information about the policy and links to the submission system.

The NIH Public Access Policy

The NIH Public Access Policy implements Division G, Title II, Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008). The law states:

*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.*

You are *not* required to submit manuscripts for work that was funded by grants or awards given prior to NIH Fiscal Year (FY) 2008--which began October 2007--although you may do so if you choose and if you own rights to the material. Compliance is connected to *current* NIH funding as of FY2008, and the date of acceptance of the publication.

Here are the requirements for periods covered by the mandate:

- Manuscript generated by NIH FY2008 (or after) grant and accepted for publication on or after April 7, 2008
- Manuscript generated by a *continuing* NIH grant that is active in FY 2008 (or after) and accepted for publication on or after April 7, 2008
- Manuscript generated by NIH contract awarded after April 7, 2008

If you are publishing a manuscript based on NIH-grant-funded data collected during the mandated period you must comply, even if the publication is made long after the grant has expired.

Copyright Concerns and Issues

It is important to address copyright issues before submitting a manuscript to the NIH Public Access Manuscript Submission system (NIHMS).

- If you have signed a contract with a publisher transferring rights to your manuscript to them, you will have to obtain permission to submit your manuscript to NIH for public access.
- Authors are urged by NIH to avoid signing such agreements, since they will not allow the author to comply with the policy.
- The NIH provides sample language to request in future copyright agreements with journal publishers:

*"Journal acknowledges that Author retains the right to provide a copy of the final 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."*

- If an author has submitted a manuscript to the NIH Public Access system that is copyrighted to a journal, journals may request to have the material removed from the Public Access system.

For other information on copyright issues, please consult the NIH [FAQ page copyright section](#).

Please be aware that these are suggestions and guidelines as recommended by the NIH policy pages. They are not intended to be interpreted as legal counsel.

#### The NIH Public Access Submission and Information Pages

Here are the links to the submission system and helpful pages from the NIH:

- Submit your manuscripts at [the NIHMS submission page](#)
- There are also excellent [submission tutorials](#) located the NIHMS site
- The [home page for the Public Access policy](#) is a good starting place to read the policy and to link to other helpful pages
- The NIH maintains a comprehensive [FAQ page](#) for the NIH Public Access policy

#### Which journals will submit your manuscript for you?

Before you begin the submission process, check to see if the journal you are publishing with is one of the PubMed Central journals that will submit the manuscript for you.

You can find a [list of PubMed Central \(PMC\) journals](#) at the NIH submission policy site.

If you publish with one of these journals, you will still have to assign a grant reporting reference to the manuscript through the NIHMS system. This can only be done by a principal investigator (P.I.) through the eRA link to NIHMS submission. Please refer to the [grants reporting section of this guide](#) for more information.

#### Things to know before you submit

If the journal does not submit to PubMed Central for authors, these authors must self-submit. If

multiple PIs are involved, one should be designated as corresponding and submitting author.

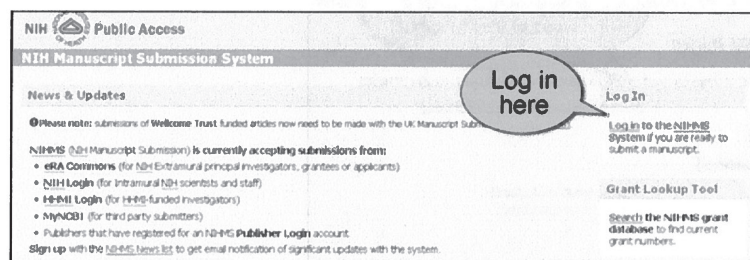
Before submission authors need to determine any stipulations journals may have placed on submission by authors. These stipulations can be found on the publisher's copyright agreement form or on the publisher's web pages for submission. Some considerations and stipulations are:

- Embargo period (may not be longer than 12 months as mandated by NIH)
  - This embargo period usually begins after the journal publication itself, not after electronic submission of pre-print ahead of publication in indexes such as MEDLINE.
- Including a link to the journal's publisher
- Including the DOI (digital object identifier) of the final version
- Version to submit to PMC: final peer-reviewed version or final journal-formatted version
- Link to the final formatted version on the journal's website
- Including a statement specified by the publisher
- Including the full final citation of the published work

#### Submitting the Manuscript

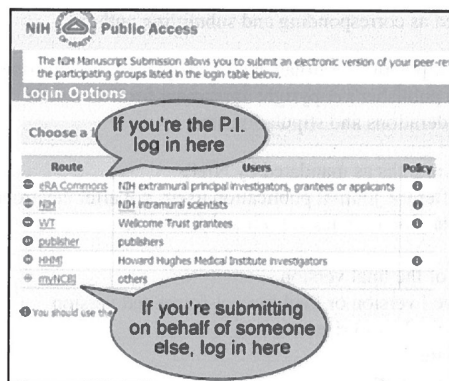
Below are some step-by-step instructions on submission to the NIHMS system:

**From the NIHMS submission page: (<http://www.nihms.nih.gov/>)**



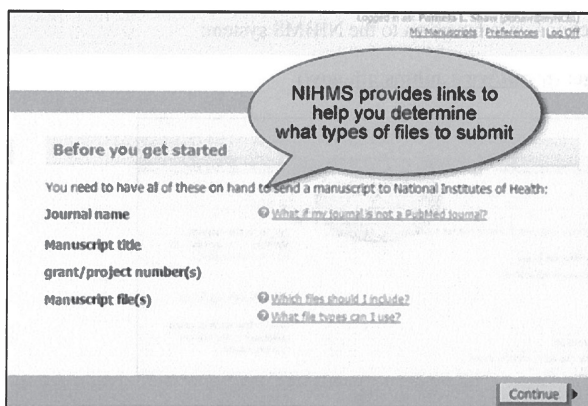
- Log in to the NIHMS System through the link in the upper right corner of the submission page
- Select the proper category for your submission type:
  - You need an eRA commons profile to submit as a P.I.
  - You need a myNCBI account to submit on behalf of someone else. A pop-up window will prompt you to log in to your myNCBI account. If you do not have one, you can register for one at this time. There is no fee for creating a myNCBI account.





- After logging in via the proper channel, click the button labeled "Submit New Manuscript"

#### What info do you need to begin?



- The name of the journal
- The manuscript title
- Grant number - Because this information is needed, it is recommended that someone familiar with the work submit the manuscript. This is usually either the principal investigator or first author of the paper. **Note:** If the work is funded by several grants, they may be entered in a single submission.
- All the files necessary: **What formats of file should you submit?**
  - Use the final, peer-reviewed and edited version
  - This will usually be the double-spaced document format you use to submit for review.
  - Do NOT use the journal-formatted "reprint" PDF, unless the journal allows you to submit the formatted version
  - Your manuscript can be a Word document or any format that is required by the journal to which you submitted.
  - Include any and all figures, tables, etc. They can be either embedded in the manuscript or included as separate files, but they must be submitted.
- Use the links supplied on the NIHMS starting page to help answer your questions about file formats.

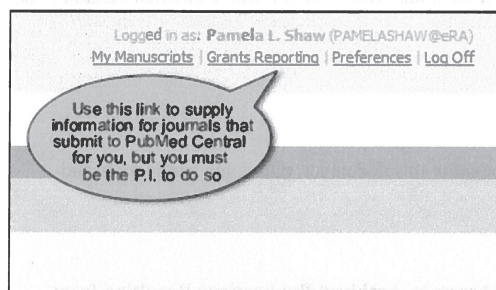
Hit the "Continue" button on each submission page to proceed through the submission process. You will be prompted to supply all the necessary information. If you wish to discontinue the process, you may hit the "Cancel Submission" button on the lower left of each page.

**NLM Skill Kit: NIH Manuscript Submission System**

**NIH Public Access Submission Process**

**The Use Grants Reporting Message**

If you get a message stating "Please use Grants Reporting to assign your grants to the article", this means that you have tried to submit a manuscript for a journal that belongs to the PubMed Central submission group, and they will do it for you. If you receive this message, go to the *upper right corner* of your submission page, and click on the "Grants Reporting" link:



**Note:** you *must* be signed in to eRA Commons as the principal investigator to do Grants Reporting or to see this link. You cannot do Grants Reporting if you are using the myNCBI submission process to submit for someone else.

**Approve the submission**

After a manuscript is submitted, the PI will receive up to two e-mails from the NIHMS prompting approval of the submission. At this point, PIs will be prompted to create an eRA Commons account if one is not already in existence.

Submission approval includes verification of the manuscript and grant award. This is the point at which publisher-stipulated embargo periods may also be added, if the manuscript has been submitted by a third party. Final review of the web version before PMC posting is the final step of the approval process.

NIHMS sends reminder e-mails to the PI if the initial requests for approval are overlooked. Authors should be aware that *submission of the manuscript is not sufficient for compliance with the NIH mandate: Approval of the manuscript is necessary for full compliance.*

**If Publisher submits manuscripts for authors**

PI will receive two e-mails from NIHMS:

1. **Approve PDF Receipt** : PI is asked to review the PDF, confirm that it is the correct manuscript

and enter grant information. NIHMS will then convert the PDF to a web-suitable version.

2. **Approve Web Version** : PI is prompted to do a final review of the web-formatted version to be posted to PMC.

**If PI submits**

PI will receive only one e-mail from NIHMS:

1. **Approve Web Version** : PI is prompted to do a final review of the web-formatted version to be posted to PMC.

**If third party submits on behalf of PI**

PI will receive two e-mails from NIHMS:

1. **Approve PDF Receipt** : PI is asked to review the PDF, confirm that it is the correct manuscript, enter grant information and assign any publisher-stipulated embargo period (maximum of 12 months allowable by mandate). NIHMS will then convert the PDF to a web-suitable version.
2. **Approve Web Version** : PI is prompted to do a final review of the web-formatted version to be posted to PMC.

**Resources**

Here are some of the links that are found throughout this document, plus some handy tools and resources from the NIH.

**NIH Resources**

- [Revised Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research](#) (NOT-OD-08-033)
- [Reminder Concerning Grantee Compliance with Public Access Policy and Related NIH Monitoring Activities](#) (NOT-OD-08-119)
- [Overview of the NIH Public Access Policy](#)
- [NIH Submission Methods](#)
- [NIH Grants Search Tool](#)
- [NIH Public Access Policy Frequently Asked Questions](#)
- [NIH PubMed Central \(PMC\) Journal List](#)
- [PubMed Central](#)
- [PMID : PMCID Converter](#)

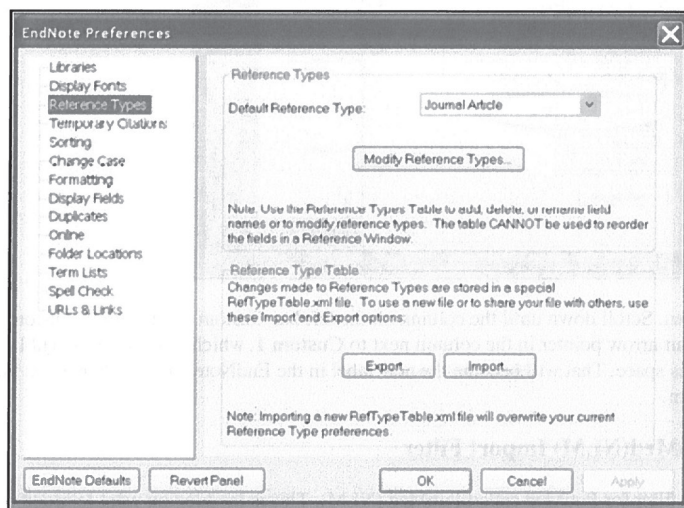
**NIHMS Resources**

- [NIHMS Home Page and Log-In](#)
- [NIHMS Tutorials for Submitters](#)
- NIHMS Video Tutorial: [Submitting an Article to PubMed Central](#) (for PIs/Authors who self-submit)
- NIHMS Video Tutorial: [Approving Submission of an Article to PubMed Central](#) (for PIs/Authors who need to approve a submission made by a publisher or third party)
- [NIHMS Help Desk](#)
- [Skill Kit: NIH Manuscript Submission System - Get the Help You Need](#)

### Modifying EndNote to include the PubMed Central ID (PMCID)

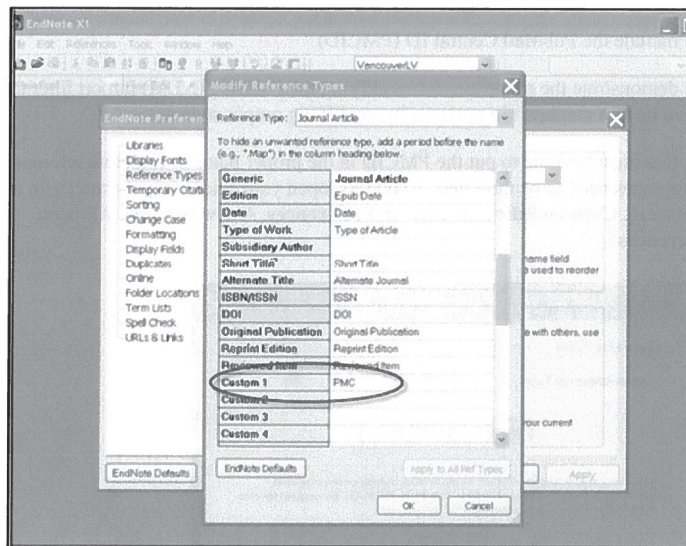
These instructions will demonstrate the procedure for modifying the PubMed (NLM) import filter to include the PMCID, then how to display it in citations by modifying output style.

There are several steps that must be done to put the PMCID in the proper place in EndNote references. First, the EndNote Preferences need to be modified. To do this, open your EndNote program (with or without an EndNote Library). Click on **Edit** then click on **Preferences**. A new window will open labeled **EndNote Preferences**.



From the list on the left, click on **Reference Types**. The right panel of the window will change to the default selection, **Journal Article**. If the Default Reference Type is *NOT* Journal Article, then use the drop down arrow to select **Journal Article**.

Next click on the button **Modify Reference Types**.



A new window will open. Scroll down until the column on the left has Custom 1, Custom 2, Custom 3, etc. visible. Place your arrow pointer in the column next to **Custom 1**, which in most cases will be blank. Type PMC in this space. That will become the new label in the EndNote record. Then, click the **OK** button at the bottom.

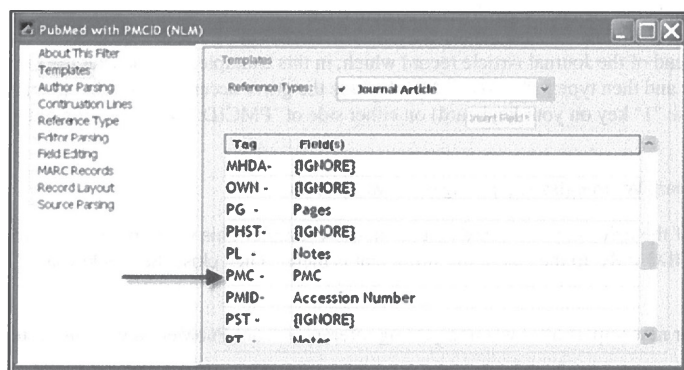
### Modifying the PubMed(NLM) Import Filter

EndNote has an import filter for PubMed called PubMed (NLM). This is the file you want to modify to add the PMCID to your EndNote records. To preserve the integrity of the original file, you will want to rename this file. Choose a name such as "PubMed with PMCID (NLM)". To do this, click on **Edit** and hover the pointer over **Import Filters**. If you have used the PubMed(NLM) filter to import references recently, it should be one of the choices on the right. If not, then select **Open Filter Manager** and from the list of import filter choices, select **PubMed (NLM)** and then rename it: Go to **File/Save As** and then rename the file to PubMed with PMCID (NLM). The name in the window should now be the name you used to Save As. This is the file you want to modify, *NOT* the original PubMed (NLM) file. Click on **Edit** and go down to **Import Filters**. A selection of options will appear. Your new PubMed with PMCID (NLM) should be one of the options. If not, then select **Open Filter Manager** and from the list of import filters, select PubMed with PMCID (NLM) and click on the **Edit** button. A new window will open with the editing choices on the left and a display window on the right.

Modifying this file is much like modifying the reference types in the EndNote preferences.

Click on **Templates** in the left column and a two column window will display in the right hand side. You are going to add the PMC field from the PubMed MEDLINE record display in the **Tag** column and PMC in the **Field(s)** column.



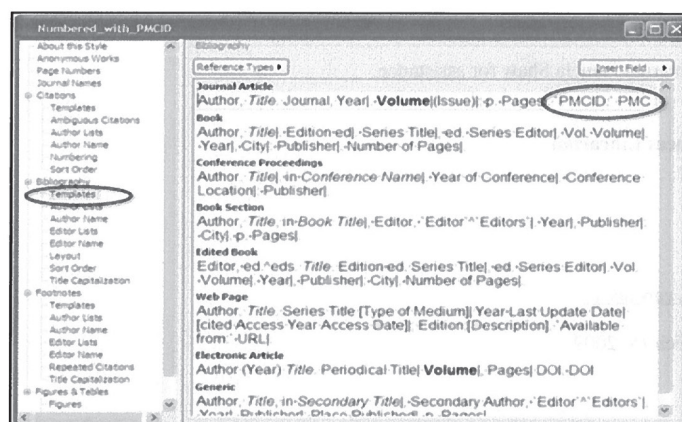


Position your cursor in the box after **{IGNORE}** (later updates of EndNote have **Notes** in this field) next to the **PL** tag and press **.** This should give you an empty row between the **PL** and the **PMID** tags. Under the **Tag** column, type **PMC** ? (Note: there is a space between the **C** and the dash) and then press **.** to position your cursor in the **Field(s)** column and type **PMC**. Close the window and, when prompted, save the changes you have made.

### Modifying the Output Style(s)

The last step is to modify an output style to display the PMCID at the end of the citation. You can pick whatever output style(s) you wish, the process is the same. The Numbered style is used as an example for this guide.

After selecting the style you wish to edit, *be sure* to rename the file like you did with the Import Filter. When you have the file selected, just do **File/SAVE AS** and give it a new name (this guide used Numbered with PMCID). It is also a good idea to fill in the **Based On** part of the display in the right hand window to include the name of the EndNote style you are modifying.



With the new file now selected, click on the **Templates** item under **Bibliography**. The first choice in the window under Reference Types on the right hand display will be **Journal Article**. For our purposes,

the PMC field will be added to the end of the Journal Article type.

Place the cursor at the end of the Journal Article record which, in this example, is right after the period (.). Press the space bar and then type: `PMCID:` PMC. Include the grave accent (`) diacritical mark (located to the left of the "1" key on your keyboard) on either side of `PMCID:` Now, the journal type should look like this:

Author, *Title*. Journal, Year|. Volume|*(Issue)*|: p. Pages|. `PMCID:` PMC

You may not have all of the fields in your record that are in this example. This varies by the style you choose. Just add `PMCID:` PMC to the end of the string that is there. Then close the window and save the changes.

- You will use your new import filter when importing references from PubMed to your EndNote libraries
- You can use your new Output style in your bibliography in NIH grant applications, proposals and progress reports after May 25 when citing your work accepted for publication after April 7, 2008.

**PLEASE NOTE: This only works for the EndNote program that is loaded on your computer. THIS DOES NOT WORK FOR ENDNOTE WEB.**

EndNote FAQ on the PMCID: <http://www.endnote.com/support/faqs/import/faq15.asp>

EndNote Assistance is available at Galter Health Sciences Library:

**Galter Library Education Team**  
312-503-8109

Adapted from [document](#) originally created by Lee Vucovich of the University of Alabama, Lister Hill Library.

Need some assistance?

Ask the Biosciences Librarian Pamela Shaw for assistance.

**Pamela Shaw, Biosciences Librarian**  
**Pamela's Liaison Page**  
312-503-8689

For further information, [contact us](#)

This page last updated Feb 18, 2009.



Harvey Cushing/John Hay Whitney Medical Library  
Yale University School of Medicine

Library Home » Subject Guides Home » NIH Public Access Policy Admin Sign In

NIH Public Access Policy Tags: nih\_public\_access pubmed\_central pmc\_id open\_access nih\_public\_access nih\_policy

Step by step instructions regarding new NIH law for Yale staff, faculty, and researchers- provided by the Yale Medical Library.

Last update: May 20, 2009 | URL: <http://guides.med.yale.edu/nihpolicy> | [Print Guide](#) | [SHRE](#) | [Facebook](#) | [Twitter](#) | [LinkedIn](#)

[The Law](#) | [Checklist](#) | [Journals and NIH Policy](#) | [How to Submit](#) | [PMC ID](#)

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**Policy Details**

**The Law became effective April 7, 2008**

*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**

**As of April 7, 2008:**  
The revised NIH Public Access Policy stipulates that as of FY2008, NIH-funded investigators are required to submit (or have submitted for them) their final, peer reviewed manuscript to PubMed Central (PMC) upon acceptance of publication to be made publicly available within 12 months of publication. This policy applies to NIH-funded manuscripts accepted for publication on or after April 7, 2008.

**As of May 25, 2008:**  
NIH applications, proposals and progress reports must include the PubMed Central reference number (PMCID) when citing an article 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, proposals and progress reports submitted to the NIH for the May 25, 2008 due date and subsequent due dates.

- [Overview of the NIH Public Access Policy](#)
- [NIH Public Access Policy Frequently Asked Questions](#)

**To what papers does the NIH Public Access Policy apply?**

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 <sup>1</sup> 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.

Authors may submit final peer-reviewed manuscripts accepted before April 7, 2008 that arise from NIH funds, if they have appropriate copyright permission.

<sup>1</sup> "Directly" funded means costs that can be specifically identified with a particular project or activity.

**Who is Responsible for Compliance?**

Principal Investigators and their Institutions are responsible for ensuring all terms and conditions of awards are met. This includes the submission of articles that arise directly from their awards, even if they are not an author or co-author of the publication. Principal Investigators and their Institutions should ensure that the authors are aware of and comply with the NIH Public Access Policy.

This work is licensed under a Creative Commons Attribution 3.0 United States License.

[Comments \(0\)](#)

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Powered by Springshare; All rights reserved. Report a tech support issue.  
View this page in a format suitable for printers, mobile devices and screen-readers.



The screenshot displays the website for the Scholarly Communications Initiative at York University. The header features a logo of white dots forming an arch and the text "Scholarly Communications Initiative" and "scholcom.yorku.ca". A navigation bar includes links for Home, Open Access, Author Rights, Metrics, Upcoming Events, and Contact Us. Below this, a breadcrumb trail shows the current page: Home > For Faculty & Researchers > Information for CIHR Grant Recipients.

The main content area is titled "Information for CIHR Grant Recipients" and contains the following sections:

- CIHR Policy on Access to Research Outputs**
  - Policy Summary**
  - Highlights:**
    - \* Ensure that all research papers generated from CIHR funded projects are freely accessible through the Publisher's website or an online repository within six months of publication;
    - \* Deposit bioinformatics, atomic, and molecular coordinate data into the appropriate public database (e.g. gene sequences deposited in GenBank) immediately upon publication of research results;
    - \* Retain original data sets for a minimum of five years (or longer if other policies apply);
    - \* Acknowledge CIHR support by quoting the funding reference number in journal publications.
- See **FAQ on CIHR Policy on Access to Research Outputs**
- Adhering with the new policy - Open access publications**
- For journal publications, there are two ways to adhere with the policy:
  1. Submit your manuscript to a journal that offers immediate open access (e.g. CMAJ, PLoS) or offers open access to the paper on its website within six months, such as **New England Journal of Medicine**
  2. Submit your manuscript to a journal that does not offer open access, but will permit you to archive the peer-reviewed manuscript in a central repository, such as **Pub Med Central Canada** or within 6 months of publication deposit in an institutional repository, such as **YorkSpace**.
- See **Adhering to the CIHR Policy on Access to Research Outputs: Peer-reviewed Publications**
- Resources on Publishing in an Open Access Journal**
  - PMC Journal List:** A list of publishers that voluntarily submit journal articles to PubMed Central
  - DOAJ:** (Directory of Open Access Journals): This service covers free, full text, scholarly journals.
- Resources on Submitting to an Institutional Repository**
  - SHERPA/RoMEO website:** The website lists publishers copyright policies and restrictions.
- Author Rights**
  - SPARC Canadian Author Addendum**
  - The new SPARC Canadian Author Addendum enables authors to secure a more balanced agreement by retaining select rights, such as the rights to reproduce, reuse, and publicly present the articles they publish for non-commercial purposes.

Sidebars include:

- Welcome**
  - For Faculty & Researchers
    - Information for CIHR Recipients
    - York-based Initiatives
    - Resources
  - For Graduate Students
  - For Librarians
  - FAQ
  - Log in
- Navigation**
  - News aggregator
- Advocate**
  - The Issues
  - Get Involved
  - York U. Projects
  - Self-archiving
  - York University Links
- Recommended Reading**
  - New! Faculty & Researchers resource update: Information for CIHR grant recipients
  - What's the Buzz About Open Access?

The footer indicates the site is "Powered by Drupal | XHTML 1.0 | CSS 2.0".



## Addenda

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### **Language for Publishers' Agreements/Contracts**

If you are not sure if the publisher's agreement or contract allows submission of your final peer-reviewed manuscript you may do the following.

#### **1. Contact Duke's Scholarly Communications Officer**

Kevin L. Smith  
[Kevin.l.smith@duke.edu](mailto:Kevin.l.smith@duke.edu)  
668-4451

Kevin will review your contract to ensure that you can submit your manuscript and comply with the NIH Public Access Policy.

If Kevin is not available, you may also contact Patricia Thibodeau at the Medical Center Library & Archives.

[Patricia.thibodeau@duke.edu](mailto:Patricia.thibodeau@duke.edu)  
660-1150

#### **2. Add Additional Term to the Agreement/Contract**

- Above the signature line on the agreement add the following phrase:  
    **“Subject to the attached additional term re. NIH deposit.”**
- Attach the “NIH added term” document on that appears on the next page.

**ADDITIONAL TERM TO CONFIRM NIH PUBLIC ACCESS DEPOSIT:**

The Journal acknowledges that Author retains the right to provide a copy of the final 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.

Author \_\_\_\_\_ Date \_\_\_\_\_

Publisher \_\_\_\_\_ Date \_\_\_\_\_

**Instructions to authors for use of MIT Amendment to Publication Agreement**

**Step 1: Sign your publisher's copyright transfer or publication agreement when you submit your final manuscript for publication with the following statement written above your signature:**

**“subject to attached amendment”**

**Step 2: Attach this amendment (next page) with the information filled in and your signature on the bottom.**

**Step 3: Send both to publisher.**

**To help assess the success of MIT authors using the amendment, please also follow these additional steps:**

**Step 4: Email the addendum to [amend-cip@mit.edu](mailto:amend-cip@mit.edu), or send a copy to the FAX number on the bottom. (This will allow MIT to gather aggregated data about use. Data about individual uses will not be shared.)**

**Step 5: Please give us any feedback that you receive from the publisher, by emailing [amend-cip@mit.edu](mailto:amend-cip@mit.edu).**

**If you would like support when a publisher asks questions or raises objections about the amendment: send email to [amend-cip@mit.edu](mailto:amend-cip@mit.edu), or contact Ellen Duranceau, Scholarly Publishing and Licensing Consultant, [efinnie@mit.edu](mailto:efinnie@mit.edu), x38483.**

**AMENDMENT TO PUBLICATION AGREEMENT**

1. THIS Amendment hereby modifies the attached Publication Agreement concerning the following Article:

\_\_\_\_\_ (manuscript title)

\_\_\_\_\_ (journal name)

2. The parties to the Publication Agreement and to this Amendment are:

\_\_\_\_\_ (corresponding author), and

\_\_\_\_\_, (the Publisher).

3. The parties agree that wherever there is any conflict between this Amendment and the Publication Agreement, the provisions of this Amendment are paramount and the Publication Agreement shall be construed accordingly.
4. Notwithstanding any terms in the Publication Agreement to the contrary and in addition to the rights retained by Author or licensed by Publisher to Author in the Publication Agreement and any fair use rights of Author, Author and Publisher agree that the Author shall also retain the following rights:
- a. To provide, or to allow the Author's employing institution to provide, an electronic version of the final manuscript of the Article, including all modifications from the peer review process and all graphics and supplemental materials associated with the manuscript (hereinafter the "peer-reviewed manuscript"), to the National Library of Medicine's PubMed Central database ("PMC") at the time the Article is accepted for publication.
  - b. To authorize, or to allow the Author's employing institution to authorize, the National Institutes of Health ("NIH") to make a copy of the peer-reviewed manuscript of the Article available for public access in PMC, in any medium chosen by NIH, no later than 12 months after the official date of publication.
  - c. To take any additional steps reasonably necessary to comply with NIH's Revised Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>).
  - d. The Author shall, without limitation, have the non-exclusive right to use, reproduce, distribute, create derivative works including update, perform, and display publicly, the Article in electronic, digital or print form in connection with the Author's teaching, conference presentations, lectures, other scholarly works, and for all of Author's academic and professional activities.
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  - f. The Author further retains all non-exclusive rights necessary to grant to the Author's employing institution the non-exclusive right to use, reproduce, distribute, display, publicly perform, and make copies of the work in electronic, digital or in print form in connection with teaching, digital repositories, conference presentations, lectures, other scholarly works, and all academic and professional activities conducted at the Author's employing institution.
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AUTHOR

PUBLISHER

\_\_\_\_\_ (corresponding author on behalf of all authors)

\_\_\_\_\_ Date

\_\_\_\_\_ Date

MIT Authors:

Please email to [amend-cip@mit.edu](mailto:amend-cip@mit.edu) or fax a copy of the agreement to 617-253-8894


MIT amendment to publication agreement rev. 1/27/06





## FAQs

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## NIH Public Access Policy

The NIH Public Access Policy ensures that the public has access to the published results of NIH funded research.

Last update: Mar 31, 2009 | URL: <http://guides.lib.uiowa.edu/nihpublicaccess> | [Print Guide](#) | [SHARE](#) | [Facebook](#) | [Twitter](#) | [LinkedIn](#)

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- Take a class
- Request a presentation for your department or lab
- Ask a Librarian


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### Links

- NIH Public Access
- NIH Public Access Frequently Asked Questions
- NIH Manuscript Submission (NIHMS)
- NIHMS Tutorials
- NIHMS Frequently Asked Questions

[Comments \(0\)](#)

### Hardin Library side box



Hardin Library for the Health Sciences

[Comments \(0\)](#)

### Frequently Asked Questions

Here are a collection of questions posed during the Hardin Library NIH Public Access Policy classes. Excerpts are taken from the NIH FAQ (<http://publicaccess.nih.gov/FAQ.htm>) unless otherwise indicated.

#### Are contracts covered, or only grants?

The following sources of funding are subject to the policy:

- Directly funded by an NIH grant or cooperative agreement active in Fiscal Year 2008 (October 1, 2007- September 30, 2008) or beyond;
- Directly funded by a contract signed on or after April 7, 2008;
- Directly funded by the NIH Intramural Program.
- If NIH pays your salary.

#### If two Principal Investigators from two different grants collaborate, how is the submission process altered?

My article has multiple authors and/or is funded from multiple NIH sources. Who should submit the article?

Any author may submit the article, but each Principal Investigator and Institution is responsible for ensuring that the terms and conditions of their award are met. An article need only be submitted once to the NIH Manuscript Submission system. Authors will be notified during the submission process if they try to submit an article that has already been submitted.

Articles can be assigned multiple NIH award numbers during submission. They can also be linked to an award electronically via the Commons when completing an electronic Progress Report, or listed as arising from any NIH award in writing when submitting an application, proposal or progress report.

#### How do you submit the copyright addenda when the entire article submission process is electronic?

Those details will need to worked out with the individual publisher.

#### What are the consequences, if any, of post submission modifications of the abstract, title, body, etc. by the publisher?

*Final peer-reviewed article:* The Investigator'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.

The final editing changes made by the publisher will not be reflected in the PubMed Central version. The final peer-reviewed manuscript is what appears in PubMed Central. At the top of each author manuscript in PMC, it says something like:

Published in final edited form as:

*Brain Res.* 2008 February 15; 1194: 28–36.

#### How are grant numbers to be submitted and cited when each number refers to a different year or the same grant or an extension of a grant?

In this situation, you need only attach your manuscript to the most recent funding year.

#### If I run an NIH funded center, and an NIH funded investigator in my center publishes an article, do I have to approve the submission?

Only direct funding(1) is applicable.


1. Costs that can be specifically identified with a particular project or activity. NIH Grants Policy Statement, Rev. 12/2003; [http://grants.nih.gov/grants/policy/ningps\\_2003/NIHGFPS\\_Part2.html#\\_Toc54600040](http://grants.nih.gov/grants/policy/ningps_2003/NIHGFPS_Part2.html#_Toc54600040)

#### Do articles submitted to PubMed Central appear in the PMC database in abbreviated form before the embargo period?

PubMed Central will not display an article until after the embargo period has finished. To cite articles still in process, use the NIHMS ID number, located within the submission system.


#### If Hardin Library staff submit the information to PubMed Central on behalf of the PI, how

### Hardin Library



Hardin Library for the Health Sciences

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**Contact Info:**  
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Iowa City, IA 52242-1098  
[lib-hardin@uiowa.edu](mailto:lib-hardin@uiowa.edu)  
319-335-9151  
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**do we notify them that the work has been completed?**

*After Hardin Library staff complete their part of the submission process, the PI receives a message from NIH to view the PDF document and submit the final approval (PDF overview of process at <http://www.nihms.nih.gov/web-reqs/PI-PDFAPP/PI-PDFAPP.pdf>) before the article will be added to PubMed Central.*

Comments (0)

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[Home](#) > [Services](#) > [Scholarly Communications Portal](#) > [NIH Public Access Policy](#) > [FAQs](#)

## FAQs – Questions Posed by WU Faculty

The following are sample questions from the WU community about the NIH Public Access Policy. For more questions related to the NIH Public Access Policy, please see the [NIH Public Access Frequently Asked Questions](#) and the [NIH Manuscript Submission System Frequently Asked Questions](#).

- » [Compliance](#)
- » [Manuscripts](#)
- » [Securing the Right to Comply](#)
- » [Submittal Process](#)
- » [Review Process](#)
- » [PMCID](#)
- » [Demonstration of Compliance](#)
- » [General](#)

### Compliance

#### When is compliance required?

The NIH Policy applies to any manuscript that:

- Is peer-reviewed and 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.

“Directly funded” means costs that can be specifically identified with a particular project or activity. See [NIH Grants Policy Statement, Rev. 12/2003](#).

(Source: <http://publicaccess.nih.gov/FAQ.htm>)

#### **I generated data in a FY2008 NIH grant and it is now 2010 and my grant is no longer current but I am publishing a paper that includes this data. Do I still need to comply with the policy?**

The activity or research took place during the FY2008 grant period. The NIH Public Access Policy applies to all peer-reviewed journal articles that arise from the NIH intramural program or any amount of direct costs funded by NIH, regardless of the source or amount of other funding.

#### **I am a T32 funded for FY2008 and have additional sources of grant funding including some from NSF – do I still need to comply?**

The NIH Public Access Policy applies to all peer-reviewed journal articles that arise from the NIH intramural program or any amount of direct costs funded by NIH, regardless of the source or amount of other funding.

#### **My journal publisher makes the final published version available on the journal web site. Is this compliance?**

No.

#### **I'm in the process of submitting a manuscript that was a part of my dissertation at XYZ University. All of the data used in my manuscript was collected and analyzed at XYZ University in 2006. I wrote the manuscript while being funded**

**under a FY2008 T32 grant. Do I need to comply with NIH Public Access Policy?**

Yes.

**Compliance Scenario:**

Dr. Smith is working off of an industry sponsored grant to conduct clinical research of an investigative drug. As part of the research plan Dr. Smith uses the services of the Cardiovascular Magnetic Resonance (CMR) Laboratory which is a core facility that is funded by the NIH and is located on campus. Dr. Smith uses some of his industry sponsored grant funding to pay the CMR lab for the Doppler echocardiograms he needs as part of his research. Dr. Smith then publishes the results of his INDUSTRY sponsored research as an article in a leading research journal.

**Answer:**

If a manuscript arises from direct funds from or any other NIH funding, which is the case with Dr. Smith, his/her manuscript may fall under the NIH Public Access Policy.

**To what papers does the NIH Public Access Policy apply?**

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 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.

\* "Directly" funded means costs that can be specifically identified with a particular project or activity. See NIH Grants Policy Statement, Rev. 12/2003

Please note, authors may submit final peer-reviewed manuscripts accepted before April 7, 2008 that arise from NIH funds, if they have appropriate copyright permission.

Should you need additional assistance and/or clarification, please contact John Michnowicz, Director, Grants and Contracts.

## Manuscripts

**What publications fall under the policy?**

The Policy applies to all peer-reviewed journal articles, including research reports and reviews. The Policy does not apply to non-peer-reviewed materials such as correspondence, book chapters, and editorials.

**I wrote a chapter for a series. Does this apply?**

The Policy applies to all peer-reviewed journal articles, including research reports and reviews. The Policy does not apply to non-peer-reviewed materials such as correspondence, book chapters, and editorials.

**What is the meaning of: "submit an electronic version of the final, peer-reviewed manuscript upon acceptance for publication"? Specifically, do they want the typescript (which is the only version which exists at the time of acceptance), or an electronic version of the reprint?**

NIH defines the final peer-reviewed manuscript as the Investigator's final manuscript of a peer-reviewed article accepted for journal publication, including all modifications from the peer review process.

**Can I submit the galley proof instead of my peer-reviewed manuscript?**

No.

## Securing the Right to Comply

**How do I confirm the right to comply?**

The first step for compliance is to check the NIH Journal List. There are many journal publishers that cooperate with NIH and submit the final published version to PMC on behalf of authors. If authors publish in one of these journals, no further action is

required for compliance except to cite the PMID reference number in future NIH applications, proposals and progress reports.

If the journal is not on the NIH Journal List:

- Review the publisher copyright agreement form.
- Review the "Instructions for Authors" or "NIH Public Access Policy Information" sections on the journal web site.

If there is no clause on the publisher copyright agreement form or information on the journal web site, contact the journal publisher or Editor in Chief of the journal and ask for clarification of their policies for NIH-funded authors per NIH Public Access Policy.

## Submittal Process

### **Can I request direct costs to pay for a person on my staff to deal with compliance with the policy and third party submitter services? Will NIH allow this as a direct cost?**

This is an administrative support function, so it is not generally allowable for direct costs.

### **Can I note multiple grant numbers on a single submission?**

Yes. Articles can be assigned multiple NIH award numbers during submission. They can also be linked to an award electronically via the Commons when completing an electronic Progress Report, or listed as arising from any NIH award in writing when submitting an application, proposal or progress report.

### **Can the PI appoint anyone to act as a third party submitter?**

Yes.

## Review Process

### **I am a non-author PI and I want to be designated as the reviewer for a manuscript under my award. Can a non-author PI be designated as the reviewer?**

Only authors to a manuscript can complete the approval process.

### **There are multiple NIH awards and multiple PIs for a single manuscript. Which PI from which award will receive a notice from NIHMS that a manuscript has been linked to their award?**

All PIs are sent an email from NIHMS notifying them when a manuscript affiliated with their award has been posted to PMC. This email will also include the PMID.

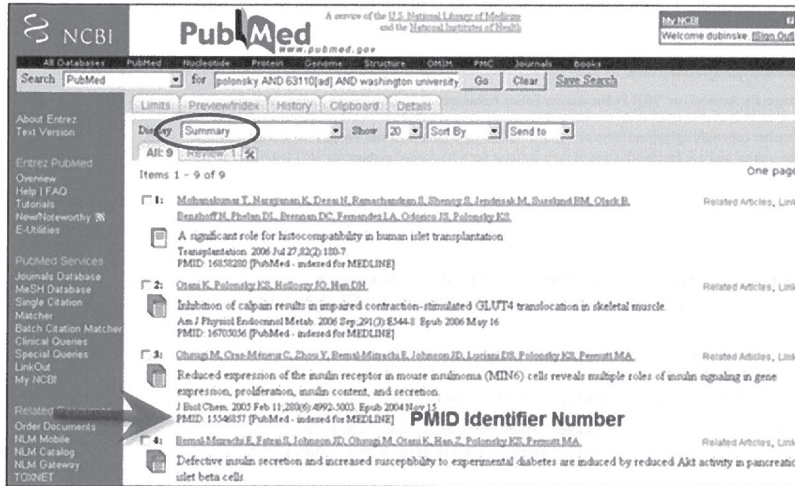
## PMCID

### **Where can I find my PMID reference number?**

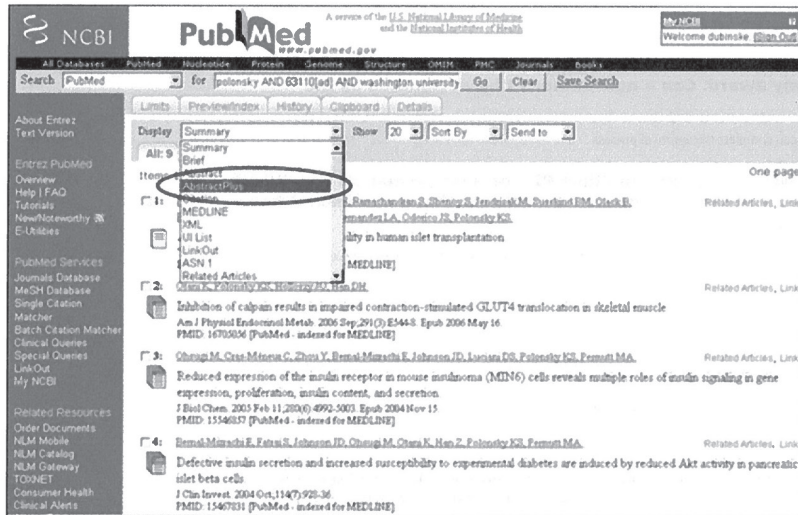
The PMID reference number can be found in PubMed and PubMed Central.

#### **In PubMed:**

Here is a sample PubMed record using the "Summary" display. Note that this display notes the PMID which is a unique identifier number assigned to each publication as it is added to PubMed. This is not the same as the PMID.



To locate the PMID reference number, change the Display to "AbstractPlus."



Once on the AbstractPlus display, you will find the PMID under the citation/abstract on the right side.



**Defective insulin secretion and increased susceptibility to experimental diabetes are induced by reduced Akt activity in pancreatic islet beta cells.**  
 Bernal-Mizrachi E, Fatral S, Johnson JD, Ohsual M, Otani K, Han Z, Polonsky KS, Permutt MA  
 Division of Endocrinology, Metabolism and Lipid Research, Washington University School of Medicine, St. Louis, Missouri 63110, USA. ebernal@wustl.edu

The insulin and IGF signaling pathways are critical for development and maintenance of pancreatic beta cell mass and function. The serine-threonine kinase Akt is one of several mediators regulated by these pathways. We have studied the role of Akt in pancreatic beta cell physiology by generating transgenic mice expressing a kinase-dead mutant of this enzyme in beta cells. Reduction of Akt activity in transgenic animals resulted in impaired glucose tolerance due to defective insulin secretion. The mechanisms involved in dysregulation of secretion in these mice lie at the level of insulin exocytosis and are not the result of abnormalities in glucose signaling or function of voltage-gated Ca<sup>2+</sup> channels. Therefore, transgenic mice showed increased susceptibility to developing glucose intolerance and diabetes following fat feeding. These observations suggest that Akt plays a novel and important role in the regulation of distal components of the secretory pathway and that this enzyme represents a therapeutic target for improvement of beta cell function in diabetes.

PMID: 15487891 (PubMed - indexed for MEDLINE) **PMCID: PMC518659**

**PMCID Reference Number**

**Ryanodine receptors in human pancreatic beta cells: localization and effects on insulin secretion.**  
 Johnson JD, Kuang S, Misher S, Polonsky KS

**In PubMed Central:**

The PMCID reference number is noted on the search results page.

NCBI PubMed Central  
 An archive of biomedical and life sciences journal literature

Search: PMC for PMC518659

Display: Summary Show: 20 Sort by: Send to: All: 1 Free: 1

**Defective insulin secretion and increased susceptibility to experimental diabetes are induced by reduced Akt activity in pancreatic islet beta cells**  
 Ernesto Bernal-Mizrachi, Szabolcs Fatral, James D. Johnson, Mitsuru Ohsugi, Kenichi Otani, Zhiqiang Han, Kenneth S. Polonsky, and M. Alan Permutt  
 J Clin Invest. 2004 October 1; 114(7): 929-936. doi: 10.1172/JCI200420016  
**PMCID: PMC518659**  
 [Abstract] [Full Text] [PDF-752K]

**PMCID Reference Number**

» For more information see How to Locate and Cite the PMCID

**Does the PMCID need to be noted in the literature cited section and the publication list?**

As of May 25, 2008, NIH applications, proposals, and progress reports must include the PubMed Central reference number when citing an article 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.

See Reminder Concerning Grantee Compliance with Public Access Policy and Related NIH Monitoring Activities for more information on where to cite the PMCID.



#### **Is it possible to download the PMCID directly to Reference Manager or Endnote?**

Yes. The PMCID is noted in the field tag of the Medline display: PMC. The PubMed filter can be modified to include the PMC tag and import the data to bibliographic citation software.

For more details, see:

- How to Locate and Cite the PMCID
- PMCIDs Display in PubMed AbstractPlus
- Modifying EndNote to Include the PMCID

#### **When does the PMCID reference number get assigned?**

The PMCID is assigned after NIHMS performs its last set of quality assurance checks and after the PI or author has completed the approval process.

#### **Is citing the PMCID reference number retroactive? Do I have to go back and submit all my previously published NIH-funded publications to get a PMCID in order to comply with the NIH Policy?**

No. Citing the PMCID is required only for those articles that fall under the NIH Public Access Policy.

#### **Demonstration of Compliance**

#### **What should be done if a PI or author omitted NIH grant award information for a paper (submitted to PMC in compliance with the NIH Public Access Policy) that is already in PubMed Central and has a PMCID? Can grant awards be added retroactively to a manuscript? Is there a manual means of entering or correcting grant award information or should the PI or author contact the NIHMS help desk and explain the situation?**

PIs should go to the NIH Manuscript Submission system and log in using the eRA Commons route. There is a Grants Reporting link in the upper right hand of the NIHMS screen. Select the Grants Reporting link and this will lead to a page with four tabs to select from.

1. Click the "Add from PubMed" tab.
2. Do a search using 'lastname, firstname' and click the search button. You will also see suggestions you can search on underneath the search box. Click on a link to do an automatic search.
3. A list of manuscripts will appear on the screen.
4. To the right of the screen, you will see the word "Add."
5. Click "Add" and you will see a list of your grants come up.
6. Check the box to the left of your grant[s] that funded the manuscript. Repeat this action for all the manuscripts.
7. When you are done, click "Update."
8. If you click the PubMed number for a manuscript, it will take you to the PubMed citation for that manuscript.
9. If you click the PMC number for a manuscript, it will take you to the PMC full text manuscript.
10. This will update all your manuscript information.

#### **Does NIH specify a specific timeframe for PIs respond to an email inquiry from a NIH Program Officer seeking documentation of compliance?**

There are no standards on response times, but it is highly recommended to respond as soon as possible. PIs should copy their Institutional Business Officer when responding back to the NIH Program Officer.

#### **Institutional Business Officer Information:**

- **WUSM Campus:** Grants and Contracts ([g&c@msnotes.wustl.edu](mailto:g&c@msnotes.wustl.edu))
- **DANFORTH Campus:** Office of Research ([resoffice@msnotes.wustl.edu](mailto:resoffice@msnotes.wustl.edu))

"The documentation provided is in response to your email dated (insert date here). Our Institutional Business Official (IBO) is being copied utilizing the office's generic email, (i.e., [g&c@msnotes.wustl.edu](mailto:g&c@msnotes.wustl.edu) OR [resoffice@msnotes.wustl.edu](mailto:resoffice@msnotes.wustl.edu))."

See: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-119.html> for more information.

#### **What should I do if a publisher has not yet submitted my manuscript per copyright agreement? I am required to note documentation of compliance for a work in a progress report and do not have a NIHMS ID or a PMCID yet. The**

**work was published in a journal that is not on the NIH list Journals That Submit All NIH-Funded Final Published Articles to PubMed Central, nor did I make arrangements with a publisher on this list: Publishers that Will Deposit a Specific Final Published Article in PubMed Central on Request.**

All authors for this work should logon to the NIH Manuscript Submission system (NIHMS) and log in using the eRA Commons route. If the manuscript has been submitted by the publisher, the manuscript will be awaiting review. The authors should complete the review process and note the NIHMS ID reference number. The NIHMS ID should be used as documentation of compliance with the NIH Policy until the PMCID is assigned. If the manuscript is not awaiting review, then the author and/or institution should contact the publisher and seek clarification on the submission status of the work. Contact Cathy Sarli for more information on how to seek clarification on the submission status of a work.

**When PIs are responding to an email inquiry from a NIH Program Officer seeking documentation of compliance for applicable citations as noted in a progress report, application or proposal, can the PIs use the "PMC Journal – In Process" or the NIHMS ID if the PMCID is not available yet? Or does NIH prefer that PIs respond when they have the PMCIDs for the citations in question that do apply under the policy?**

The "PMC Journal – In Process" and the NIHMS ID are intended to be used as temporary means of documentation until the PMCID is available. PIs should not wait for the PMCID to become available before they respond to emails from a NIH Program Officer.

First, the PIs should confirm that the citation in question is applicable under the NIH Policy. See Public Access Frequently Asked Questions. If the citation in question is applicable and there is no PMCID assigned yet, PIs should determine whether they can use the "PMC Journal – In Process" or the NIHMS ID as documentation of compliance.

See Cite the PMCID and How to Demonstrate Compliance with the NIH Public Access Policy for more information on when to use "PMC Journal – In Process" or the NIHMS ID as documentation of compliance.

## General

**Can I submit works to PMC that predate the NIH policy, even from before 2005? Meaning, if I published a manuscript in 2001 can I submit this to PMC?**

If the author has retained the right to comply, or if the publisher grants permission to do so, or if the author is a governmental employee, then previously published works may be submitted to PMC.

**Are all NIH-funded publications added to PubMed Central also being indexed in MEDLINE regardless of journal indexing status?**

Yes. These publications are noted with: [PubMed - author manuscript in PMC]

**Does NIH reimburse direct costs related to article processing fees or open access fees?**

Yes. The NIH will reimburse publication costs, including author fees, for grants and contracts on three conditions: (1) such costs incurred are actual, allowable, and reasonable to advance the objectives of the award; (2) costs are charged consistently regardless of the source of support; (3) all other applicable rules on allowability of costs are met.

**How can a PI (for a Trainee grant) ensure that all of their trainees have entered the correct grant award information for a manuscript that the PI is not an author of?**

If the trainee added the NIH award information to a manuscript, the PI will receive an email from the NIH Manuscript Submission system (NIHMS) notifying them of a submission and the PMCID.

**Recommendations:**

PIs should advise (and remind periodically) all trainees that they must note the applicable NIH award for all manuscripts that resulted from support from the PI's NIH award.

PIs can create author alerts for each trainee using databases such as PubMed, SCOPUS or Web of Knowledge/Science. PIs will be "alerted" each time a new publication authored by a trainee is added to a database. The PIs can keep track of publications by their trainees and compare these with the notifications from NIHMS informing the PI of a submission and the PMCID. If no corresponding notification is forthcoming from NIHMS for a specific publication by a trainee that was generated from that PI's award, the PI can retroactively add the grant award information.

See Demonstration of Compliance for information about how to retroactively add grant award information.

Have questions or need more assistance? Please contact Cathy Sarli, Becker Library Scholarly Communications Specialist.

*Last updated: April 28, 2009*

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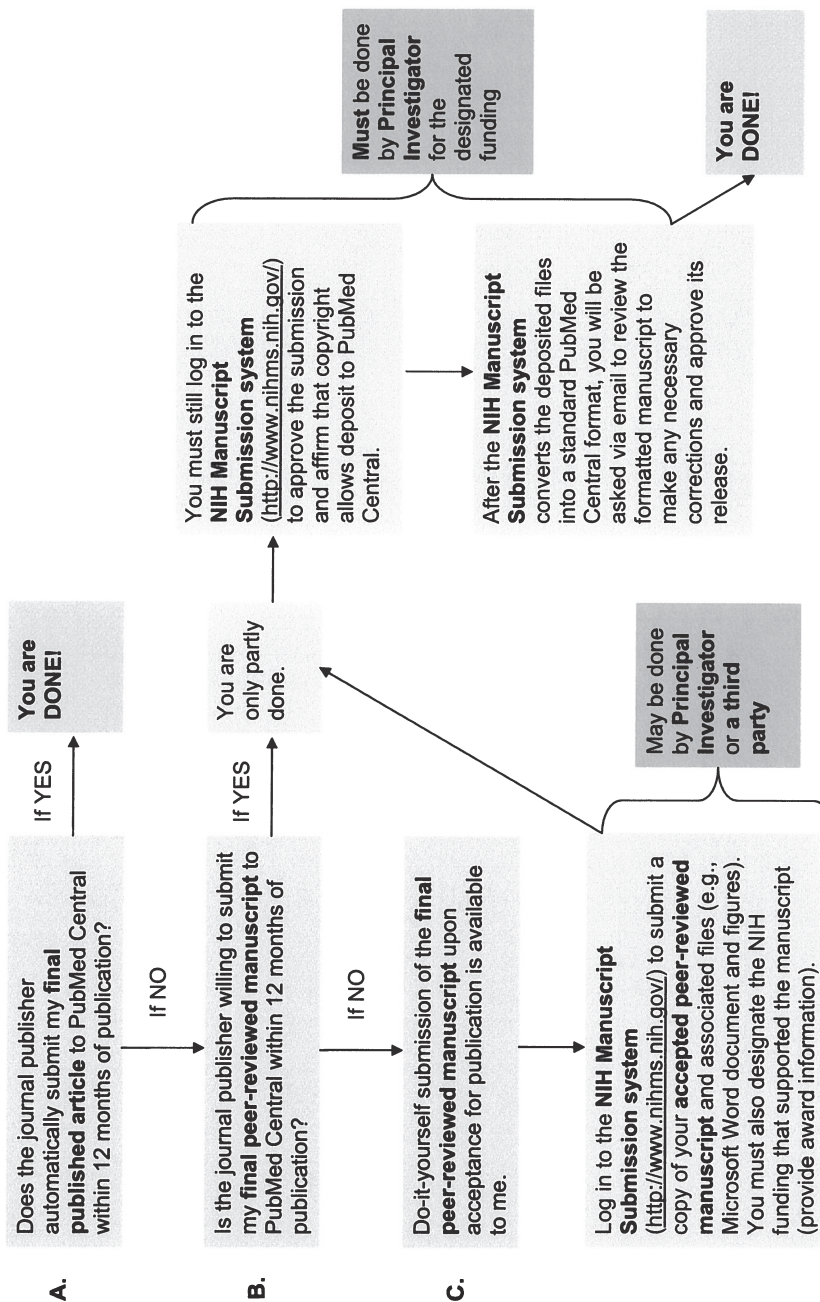
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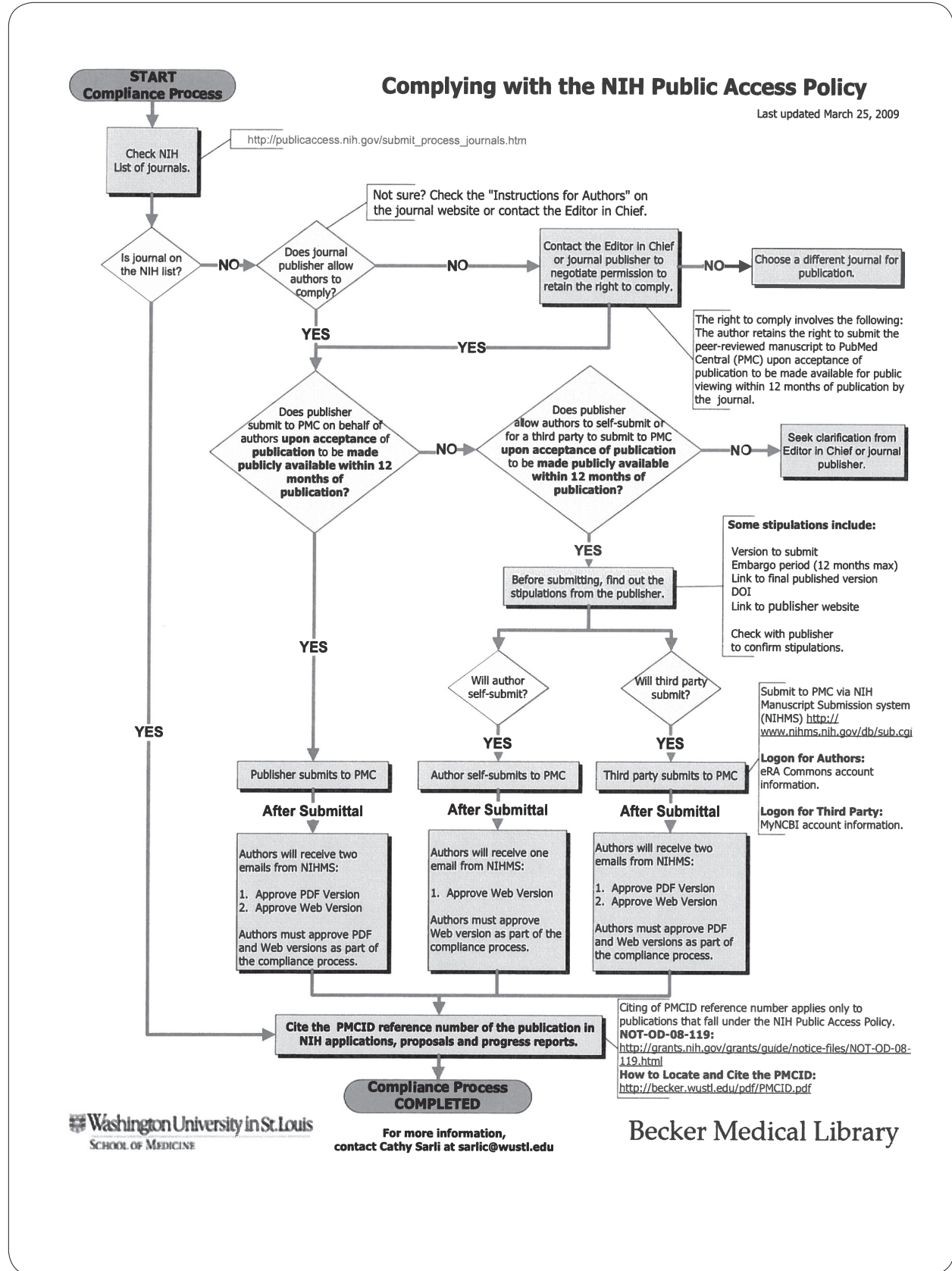
## Flowcharts

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## Submitting to PubMed Central



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## Handouts

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**NIH Public Access Policy Summary**

The National Institutes of Health Public Access Policy ensures the public has access to published results arising from NIH-funded research by requiring authors to submit journal articles to the National Library of Medicine's digital archive PubMed Central. See <http://www.research.uci.edu/ora/sp/NIHopenaccess.htm>.

	<p>The Public Access Policy requires posting of peer-reviewed articles based on research:</p> <ul style="list-style-type: none"> <li>• Funded by an NIH <u>grant or cooperative agreement</u> active in Fiscal Year 2008 (October 1, 2007-September 30, 2008) and beyond;</li> <li>• Funded by an NIH <u>contract</u> signed on or after April 7, 2008;</li> <li>• Funded by the NIH intramural program; or</li> <li>• As an NIH employee.</li> </ul>
	<p>Peer-reviewed articles, including all graphics and supplemental materials that are associated with the article, must be posted to PubMed Central within <u>12 months</u> after publication.</p>
	<p>Investigators must ensure that the copyright transfer or other agreement signed with a publisher allows articles to be posted to PubMed Central. Insert language suggested by NIH or UC to revise a publishing agreement. See the UC letter to publishers at <a href="http://www.research.uci.edu/ora/forms/sp/NIHPubMedPublisherLtr-3-6-08.pdf">http://www.research.uci.edu/ora/forms/sp/NIHPubMedPublisherLtr-3-6-08.pdf</a>.</p>
	<p>Articles may be submitted by investigators or their staff, or by the publisher. See <a href="http://publicaccess.nih.gov/submit_process_journals.htm">http://publicaccess.nih.gov/submit_process_journals.htm</a> for a list of journals that will automatically post to PubMed Central if NIH funds are involved. To submit articles directly to the NIH Manuscript Submission (NIHMS) system, go to <a href="http://www.nihms.nih.gov">http://www.nihms.nih.gov</a>. Either way, investigators must review and approve the manuscript to complete the transfer to PubMed Central.</p>
	<p>Beginning May 25, 2008, articles cited in NIH applications, proposals and progress reports that fall under the Policy and were authored or co-authored by the investigator must include the PubMed Central reference number (PMCID). Include the NIHMS reference number (NIHMS ID) if a PubMed Central number is pending.</p>

NIH References:

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

Public Access - <http://publicaccess.nih.gov/>

Revised Policy - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>

UCI Libraries Website:

<http://www.lib.uci.edu/scamp/nih-guide.html>

UCI Office of Research Administration/Sponsored Projects Website:

<http://www.research.uci.edu/ora/sp/NIHopenaccess.htm>

5/15/2008



## NIH Public Access

As of April 7, 2008, all published results from NIH research must be submitted to PubMed Central (<http://www.pubmedcentral.nih.gov/>) within twelve (12) months of acceptance for publication. This applies to all peer-reviewed journal articles, not book chapters, correspondence or editorials. Articles published prior to April 7, 2008, may be included with proper copyright permission.

Compliance is a three step process:

1. Copyright - The publication agreement or similar copyright transfer agreement must allow submission of the article within twelve months to the NIH. CWRU's Provost has supplied an appropriate copyright [letter](#). Please contact [hclref@case.edu](mailto:hclref@case.edu) if you need additional information.
2. Submit the article to NIH –
  - i. You or someone in your organization (e.g., an assistant or your library) may deposit a copy of the **peer reviewed manuscript** in the NIH Manuscript Submission (NIHMS) (<http://www.nihms.nih.gov/>) system.
  - ii. Your publisher may send the **peer-reviewed manuscript** files to the NIH Manuscript Submission system for you. There is a list of [Journals That Submit Articles To PubMed Central](#) ([http://publicaccess.nih.gov/submit\\_process\\_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm)).
3. Cite - As of May 25, 2008, when citing an article in NIH applications, proposals, and progress reports that falls under the Policy, and was authored or co-authored by you or arose from your NIH award, you must include the PubMed Central reference number (PMCID). This policy includes applications submitted to the NIH for the May 25, 2008 due date and subsequent due dates.

Please see the [Frequently Asked Questions](#) (<http://publicaccess.nih.gov/FAQ.htm>).

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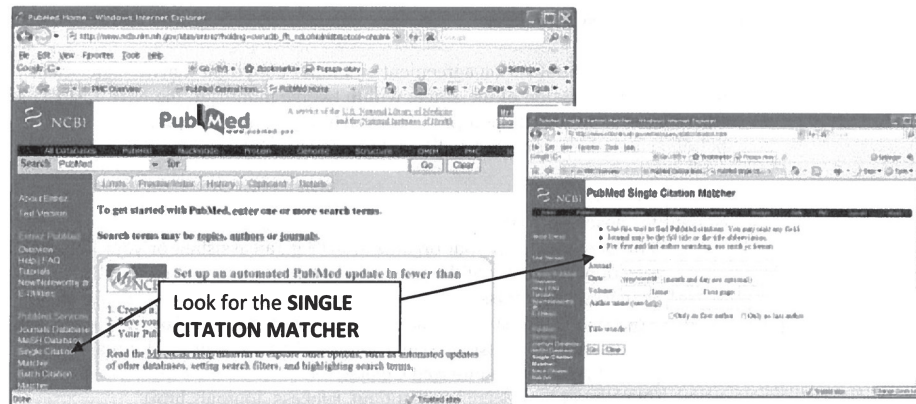


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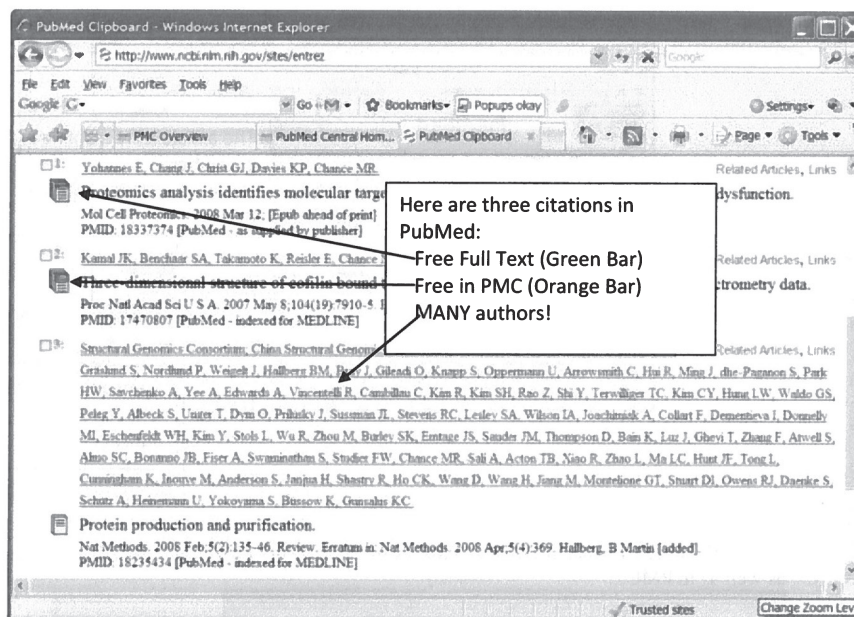


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## New NIH Reporting Requirements<sup>1</sup>

### Introduction

Recipients of funding from the National Institutes of Health (NIH) funding should be aware of a new reporting requirement (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>) that goes into effect on **April 7, 2008**. Principal investigators must ensure that electronic versions of any peer-reviewed manuscripts arising from NIH funding and accepted for publication after that date are deposited in PubMed Central (PMC), NIH's digital archive of biomedical and life sciences journal literature. Full text of the articles will then be made freely available to the public no later than 12 months after publication. The requirement applies to any NIH direct funding, including grants, contracts, training grants, subcontracts, etc. In addition, beginning May 25, 2008, anyone submitting an application, proposal, or progress report to NIH must include the PMC or NIH Manuscript Submission Reference Number when citing applicable articles that arise from their NIH-funded research.

### Who is affected?

The Policy applies to you if your peer-reviewed article is based on work in one or more of the following categories:

1. Directly funded by NIH grant or cooperative agreement active in Fiscal Year 2008 (October 1, 2007-September 30, 2008) or beyond;
2. Directly funded by a contract signed on or after April 7, 2008;
3. Directly funded by the NIH Intramural Program;
4. If NIH pays your salary.

### Important information on rights

NIH stresses that it is your responsibility, as the author, to ensure that you have the right to deposit your manuscript with PMC. Some publishers require that you transfer copyright prior to acceptance of publication; NIH warns that you should avoid such journals if their contract does not allow you to deposit articles in PubMed Central. Other publishers in their publication agreements ask you to warrant that there are no prior agreements concerning the publication and that the publisher will own all rights. If you submit a manuscript to PMC prior to signing such an agreement, you would be in breach of the agreement and in violation of NIH policy. If your publisher does not participate in PMC, there are three approaches you can follow to be in compliance:

<b>Approach 1</b>	Read your publication agreement carefully. Make sure that you have the right to deposit your article with PMC. The SHERPA/RoMEO site at <a href="http://www.sherpa.ac.uk/romeo.php">http://www.sherpa.ac.uk/romeo.php</a> has information on the policy of many journals regarding PMC deposit.
<b>Approach 2</b>	If there is any question about your rights, add the following language to the publication agreement: " <i>Journal acknowledges that Author retains the right to provide a copy of the final 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.</i> "
<b>Approach 3</b>	Alternatively, attach the Scholar's Copyright Delayed Access Addendum to the publication contract. The Addendum is a legal instrument that acknowledges any prior grants (including those required by funding agencies). It also provides you with other important rights, including the right to use your article in your own teaching and research, the right to build on the article in future publications, and the right to deposit the PDF version from the publisher with PMC. An online engine that generates the Addendum is found at <a href="http://scholars.sciencecommons.org/">http://scholars.sciencecommons.org/</a> . Note that the engine currently creates an agreement with a six month delay; this can be changed manually if the journal insists on PMC delaying access for the full twelve months.



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<p><b>Publish with a journal that participates in PubMed Central</b></p>	<p>The easiest way to contribute articles to PMC is to publish in a journal that automatically transfers copies of published articles to the repository. <i>Nothing else is required of you.</i></p> <p><b>*The list of journals that participate in PubMed Central is found at*</b>  <a href="http://publicaccess.nih.gov/submit_process_journals.htm">http://publicaccess.nih.gov/submit_process_journals.htm</a></p>
<p><b>Publish with a journal that will deposit manuscripts for you</b></p>	<p>Some publishers, while not participating in PubMed Central themselves, will upon request send copies of manuscripts to PMC. Elsevier has had a <a href="#">policy</a> since 2006 to submit articles to PMC on the author's behalf; other examples of such programs are Blackwell Publishing's <a href="#">Online Open</a>, Oxford Journals' <a href="#">Oxford Open</a>, and Springer's <a href="#">Open Choice</a>. Eccles Library staff can help you determine if a particular journal will deposit articles on your behalf.</p> <p>If the publisher deposits only your manuscript, rather than the final published version of the article, you will still have to sign onto the NIH Manuscript Submission System (<a href="http://www.nihms.nih.gov/">http://www.nihms.nih.gov/</a>) to review and approve release of the article to PubMed Central.</p>
<p><b>Submit the manuscript yourself</b></p>	<p>If the journal in which you are publishing does not deposit either the published or manuscript version of your article, you will need to do it yourself using the NIH Manuscript Submission System. Depositing a manuscript takes only a few minutes and can be done by the primary investigator or a third-party. Here are some things to keep in mind.</p> <ul style="list-style-type: none"> <li>• <b>What to submit:</b> An electronic version of the final, peer-reviewed manuscript, including all graphics and supplemental material associated with the article. Note that you will need the permission of the publisher to submit a PDF provided by them.</li> <li>• <b>When to submit:</b> Upon acceptance for publication.</li> <li>• <b>How to submit:</b> Go to <a href="http://www.nihms.nih.gov/">http://www.nihms.nih.gov/</a>, label the manuscript with the correct author names, grant #, etc., and then submit.</li> </ul> <p>The voluntary NIH Manuscript Submission System is still in place at <a href="http://www.nihms.nih.gov/">http://www.nihms.nih.gov/</a>, and you may wish to start depositing your articles now in order to familiarize yourself with the process prior to the start date of the new policy. Eccles Library staff can walk you or your designated agent through the steps.</p>

### How the new reporting requirement will help you

The new requirement should work to the benefit of University of Utah authors. Deposit in PMC ensures that the research results will be preserved in a state-of-the-art digital repository. Free access after 12 months will maximize the visibility of your research and ensure that researchers and students around the world will be able to read and build on your work, regardless of their (or their library's) ability to subscribe to the journal in which the research is published. Preliminary research suggests that articles that are freely available are cited more often and have a greater impact rating than articles that are locked away behind subscription walls. As David Shulenburg, Vice President for Academic Affairs at the National Association of State Universities and Land-Grant Colleges (NASULGC), has noted, "public access to publicly funded research contributes directly to the mission of higher education. Improved access will enable universities to maximize their own investment in research and widen the potential for discovery as the results are more readily available for others to build upon."

### More information

NIH has prepared an FAQ on the new reporting requirements at <http://publicaccess.nih.gov/>. For more information on the NIH reporting requirements, journal practices regarding deposit, or the use of the Scholar's Copyright Addendum engine, check the Eccles Library Scholarly Communication Web page at <http://library.med.utah.edu/km/scholarcomm.php> or contact Allyson Mower, [amower@lib.med.utah.edu](mailto:amower@lib.med.utah.edu) or Mary Youngkin, [maryy@lib.med.utah.edu](mailto:maryy@lib.med.utah.edu).

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## Letters to Publishers

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March 6, 2008

Dear Publisher:

The research reported in this manuscript has been funded through the National Institutes of Health and therefore its publication must comply with Public Law 110-161 of the Consolidated Appropriations Act of 2008, which can be found in Division G, Title II, Section 218 of PL 110-161.

Specifically, the law states:

*“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.”*

The NIH Public Access Policy, which implements this law, can be viewed at (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>).

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Sincerely,

A handwritten signature in black ink, appearing to read "W. Tucker".

William T. Tucker  
Executive Director  
Research Administration and  
Technology Transfer



■ Manuel Martinez-Maldonado, MD, MACP  
Executive Vice President for Research

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-1400  
Fax: 502-852-8375  
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Dear Journal Publisher,

The University of Louisville deeply appreciates your interest in the scholarship of our faculty and your commitment to making their scholarship widely available. The enclosed article resulted at least in part from research and investigation funded by the National Institutes of Health. Dissemination of the article consequently is governed by the NIH Public Access Policy (<http://publicaccess.nih.gov/policy.htm>).

The NIH policy and its statutory foundation require authors of NIH-funded publications:

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- to authorize PubMed Central to make their manuscripts publicly accessible no later than 12 months after publication, and subsequently
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We again appreciate your efforts to support compliance with the NIH Public Access Policy. Your help in sharing your approach with UofL authors and in identifying who within your organization can help them to achieve compliance with that policy is important to us. We thank you for your consideration and cooperation.

Sincerely,

A handwritten signature in black ink, appearing to read 'Manuel Martinez-Maldonado'.

Manuel Martinez-Maldonado, M.D.  
Executive Vice President for Research



February 2009

**Email to Publishers for Submission Status of NIH-Funded Works**

Washington University is aware of some journal publishers that are not timely submitting manuscripts to PubMed Central on behalf of NIH-funded authors in compliance with the NIH Public Access Policy. NIH requires documentation of compliance with the NIH Public Access Policy for manuscripts authored or co-authored by grantees, and for manuscripts that arise from a grantee's NIH award if a grantee is not an author. See the [NIH Public Access Policy website \(http://publicaccess.nih.gov/index.htm\)](http://publicaccess.nih.gov/index.htm) and the NIH notice, [Reminder Concerning Grantee Compliance with Public Access Policy and Related NIH Monitoring Activities \(http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-119.html\)](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-119.html) for more information about the NIH Policy and procedures for compliance.

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Thank you for your immediate attention to this matter.

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## Newsletter/Blog

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April 2008

Volume 2, Issue 1

# PIXEL



Inside this issue:

## Woodruff Health Sciences Center Library Newsletter

### From the Director

This newsletter issue highlights the NIH Public Access Policy signed into federal law December 26, 2007, and effective April 7, 2008. I join my academic health sciences library director colleagues in expressing appreciation to NIH for its efforts to ensure effective implementation of the updated Public Access Policy. In order to advance science and improve health, we are optimistic that this policy will speed the pace of discovery by expanding access to research findings supported with federal tax dollars.

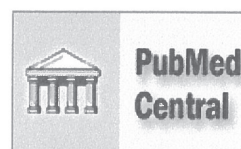
The Emory Libraries are partnering with our research community to address policy issues related to copyright and authors' rights, submission in the NIH Manuscript Submission System, and the location of PubMed Central

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Authors should work with publishers before any rights are transferred. Some publishers already submit articles to PubMed Central or will submit final peer-reviewed manuscripts on behalf of authors. Other publishers believe it is enough to provide access to their articles immediately, or after an embargo period. Ultimately it is the author's responsibility to comply with the public access policy by ensuring that articles published as a result of NIH funded research are submitted to PubMed Central. As you will discover throughout this newsletter, we are here to help.

Sandra Franklin

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Citing funded articles	3
Additional resources	4
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## NIH Public Access Policy: What You Need to Know

### Effective April 7, 2008

Submit journal articles that result from NIH funds to the digital archive PubMed Central upon its acceptance for publication. Ensure that any publication agreement allows the article to be submitted to NIH in accordance with the new policy.

### Effective May 25, 2008

Include the PubMed Central ID number on all the NIH grant applications, proposals, and progress reports when citing an article that falls under the policy and is authored or co-authored by the investigator, or arose from the investigator's award.

### Who is Responsible For Compliance?

The Principal Investigator is responsible for complying with the new NIH Public Access Policy (PI). Even if someone else submits the manuscript on behalf of the PI it is still the responsibility of the PI to ensure compliance.

- \* Ensure that the publication agreement allows the article to be submitted to PubMed Central
- \* Submit the article or ensure that the article is submitted to NIH

### How We Can Help

Staff in the Health Sciences Center Library are available to assist investigators and their assistants in navigating the submission process. We can:

- \* answer general questions about the policy and procedures
- \* help determine if the journal will submit on behalf of the investigator
- \* assist in submitting final manuscripts accepted for publication to PMC
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PubMed Central and NIH *Public Access Policy*

Volume 2, Issue 1

Page 3

PubMed Central (PMC) is the free digital archive of biomedical and life sciences journal literature. Developed by the National Institutes of Health (NIH), PMC is a stable repository to permanently preserve and maintain unrestricted access to electronic literature resulting from NIH funding. PubMed Central is managed by the National Library of Medicine (NLM), and is accessible world-wide to health professionals, researchers, and the public.

Effective April 7, 2008, articles resulting from NIH funding should be submitted to PubMed Central within 12 months of publication, according to a new federal law. The [NIH Public Access Policy](#) should significantly enhance the collection of articles in PMC. Initially (in 2000), it included content from only two journals: *PNAS: Proceedings of the National Academy of Sciences* and *Molecular Biology of the Cell*. It now includes about 1,000,000 articles from a growing [list of journals](#) which deposit some or all of their content. Each PMC article is marked in the [PubMed](#) database with a link to the full text.

## Citing Funded Articles in New NIH Applications, Proposals, Progress Reports

1. Go to PubMed
2. Search for the reference
3. Look at the abstract and find PMCID in lower right corner, OR click on PubMed Central logo near the top of the screen. (See red boxes below)

1: [Pharmacotherapy](#). 2006 Oct;26(10):1501-10.

### Illicit use of specific prescription stimulants among college students: prevalence, motives, and routes of administration.

Teter CJ, McCabe SE, LaGrange K, [Gononoff J, Boyd CJ](#)

School of Pharmacy, Northeastern University

OBJECTIVES: To explore the illicit use of prescription stimulants and add to our understanding of reasons for use of these drugs. METHODS: A random

Web-based survey. The survey contained a variety of items pertaining to the illicit use of prescription stimulants. An extensive list of prescription stimulants was provided, and students were asked to select all the specific prescription stimulants that they had used illicitly. Items were also included to assess the motives and routes of administration associated with illicit use of prescription stimulants. RESULTS: Lifetime and past-year prevalence rates for illicit use of prescription stimulants were 8.3% (382 students) and 5.9% (269 students), respectively. Approximately three fourths (75.0%) of the past-year illicit users of prescription stimulants reported using an amphetamine (e.g., Ritalin, Concerta, Metadate) or methylphenidate (e.g., Adderall) in the past year, and more than 3 times more likely among Caucasians (OR 1.5-6.6) and Hispanics (OR 3.8, 95% CI 1.5-9.5) compared with Asians. The most commonly reported motives for illicit use were to help with concentration (65.2%), help study (59.8%), and increase alertness (47.5%). Other motives included getting high (31.0%) and experimentation (29.9%). Nearly every illicit user (95.3%) reported oral administration, and 38.1% reported snorting prescription stimulants. CONCLUSION: Illicit use of amphetamine-dextroamphetamine is more prevalent than illicit use of methylphenidate formulations among college students.

PMID: 16939680 [PubMed - indexed for MEDLINE]

A link to the full-text article in PMC will be found in the top right hand corner.

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PMCID: PMC1794223

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#### Related Links

- Prevalence and motives for illicit use of prescription stimulants in an undergraduate student sample. [J Am Coll Health. 2005]
- Prevalence of illicit use and abuse of prescription stimulants, alcohol, and other drugs among college students: relationships. [Pharmacotherapy. 2007]
- Non-medical use of prescription stimulants among US college students: prevalence and correlates from a national survey. [Addiction. 2005]
- Illicit methylphenidate use in an undergraduate student sample: prevalence and risk factors. [Pharmacotherapy. 2003]
- Medical use, illicit use and diversion of prescription stimulant medication. [J Psychoactive Drugs. 2006]

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April 2008

**Attend an NIH Public Access Policy Brown Bag Discussion**

Tuesday April 29: Rita Rollins Room, 8th floor Rollins School of Public Health from 12 noon to 1 p.m.

Wednesday April 30: Whitehead Research Building Auditorium from 12 noon to 1 p.m.

Contact us to schedule a discussion in your department

**Additional Resources**

The NIH Public Access homepage provides an overview of the policy as well as FAQ's and a training slideshow:

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

Submit your manuscript or consult FAQ's and tutorials:

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

An overview of PubMed Central:

<http://pubmedcentral.nih.gov/about/faq.html>

The Emory Libraries NIH page:

[http://web.library.emory.edu/IP\\_rights/NIH\\_public\\_access\\_policy.html](http://web.library.emory.edu/IP_rights/NIH_public_access_policy.html)

PIXEL

▶ Page 4

Woodruff Health Sciences Center Library

[www.healthlibrary.emory.edu](http://www.healthlibrary.emory.edu)

1462 Clifton Road

Atlanta, GA, 30322

Pixel is the smallest, discrete component of an image. "The greater the number of pixels per inch the greater the resolution."

With this newsletter, we hope to provide you with a quality picture of who we are and what we are doing to serve you better.

Comments? • Suggestions?

Email to

[agetsel@emory.edu](mailto:agetsel@emory.edu)

**In Their Own Words**

Reactions to the new NIH Public Access Policy

"It is clear that authors are the key. They are the creators of the scholarly literature as well as its consumers. They should be the final decision makers as to where and how they will publish." *Gale Oren MILS*

"Government legislation mandating open access through a government Web site will, it is feared, result in a reduction of sustainable peer-reviewed journals and a reduction in overall quality as publishers, societies, and authors are forced to hand over their intellectual property or restrict the peer review process." *Erin McMullan, Lippincott Williams & Wilkins*

"Measured by the ferocity of opposition overcome and the volume of literature liberated, it's the largest victory in the history of the OA movement. It's only a plateau, not a summit, but it's an immense success." *Peter Suber, SPARC*

"We believe that public access...to research funded by NIH will help advance science and improve human health while preserving peer review and the value of scientific publishing"  
*NIH Director Elias A. Zerhouni*

"This is a landmark event from several perspectives. Most obviously, it further accelerates the world-wide movement toward greater access to the scientific literature, markedly increasing the number of articles freely available to read online." *Howard Varmus PLoS Co-founder*

**The Law**

*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.*

Division G, Title II, Section 218 of PL 110-161 (Consolidated)

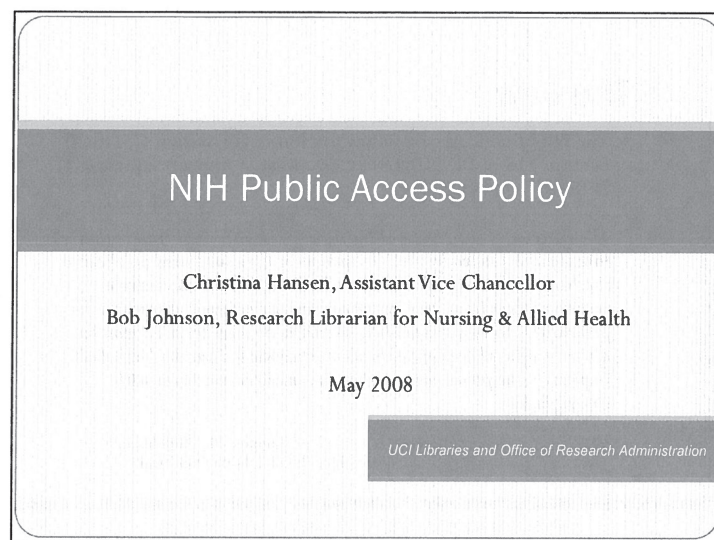
April 2008



## Presentations

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5/29/09

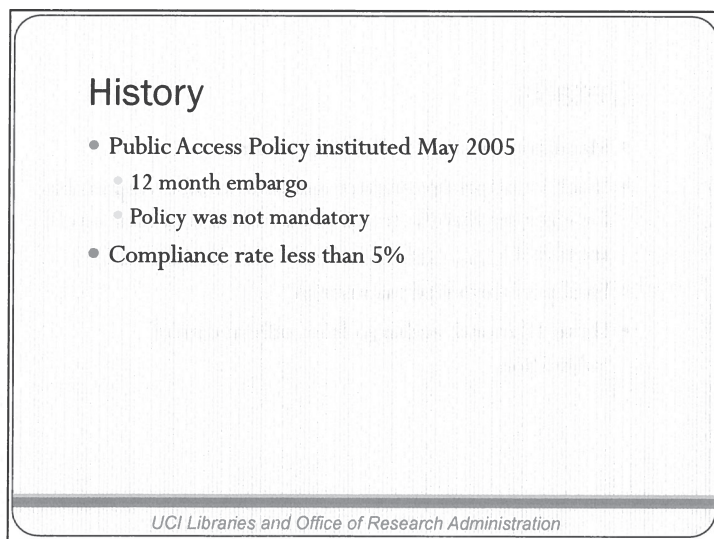


NIH Public Access Policy

Christina Hansen, Assistant Vice Chancellor  
Bob Johnson, Research Librarian for Nursing & Allied Health

May 2008

*UCI Libraries and Office of Research Administration*



### History

- Public Access Policy instituted May 2005
  - 12 month embargo
  - Policy was not mandatory
- Compliance rate less than 5%

*UCI Libraries and Office of Research Administration*



5/29/09

## The Law

- The NIH Public Access Policy implements Division G, Title II, Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008). The law states:

*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.*

*NIH Guide Notice for Public Access* (January 11, 2008 <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>)

UCI Libraries and Office of Research Administration

## Details

- Mandatory posting to PubMed Central
- “Each Principal Investigator and Institution is responsible for ensuring that the terms and conditions of their award are met” (<http://publicaccess.nih.gov/FAQ.htm#e4>)
- Final peer-reviewed manuscript
- Up to 12 month embargo from official date of publication

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## Goals of the NIH Policy

- **ACCESS** – Provide free electronic access to NIH-funded research publications
- **ARCHIVE** – Provide permanent archive of vital NIH-funded biomedical research results
- **ADVANCE SCIENCE** – Expand information resource for scientists to use in innovative ways
- **ACCOUNTABILITY** – Allow NIH to manage research productivity more effectively and transparently

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## Does This Mean Me?

- Yes, if any of the following are true:
  - Directly funded by an NIH grant or cooperative agreement active in Fiscal Year 2008 (October 1, 2007- September 30, 2008) or beyond
  - Directly funded by a contract signed on or after April 7, 2008
  - Directly funded by the NIH Intramural Program
  - NIH pays your salary

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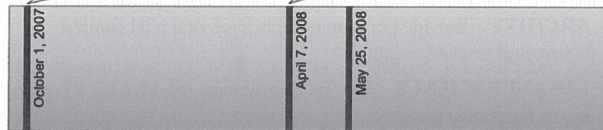


5/29/09

## Timeline

Applies to NIH grants and cooperative agreements active as of this date

Applies to contracts signed on or after this date

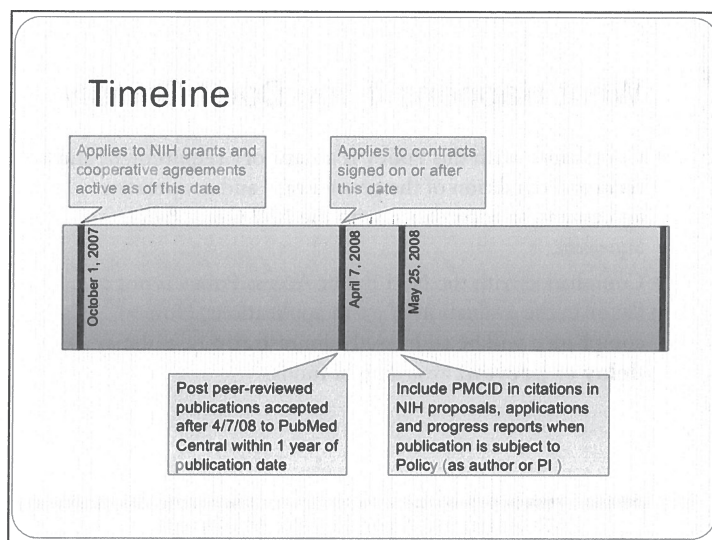


## Important Dates

- **April 7, 2008**
  - Submission is required for papers accepted for publication arising from NIH funding on or after this date
- **May 25, 2008**
  - NIH applications, proposals, and progress reports must include the PubMed Central reference number (PMCID) when citing an article that falls under the policy and is authored or co-authored by the investigator, or arose from the investigator's NIH award

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### What You Need to Do to Comply

- **Address the Copyright.** Ensure that your copyright transfer agreement with the publisher allows for submission to NIH's PubMed Central.
- **Submit to NIH.** Have your article submitted to NIH through the NIH Manuscript Submission system either by yourself, by a third-party, or by the publisher.
- **Cite the PubMed Central Reference.** Use the PMCID when citing your articles in NIH applications, proposals, or progress reports that fall under the policy.

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## What Happens if You Don't Comply

- Compliance with this Policy is a statutory requirement and a term and condition of the grant award and cooperative agreement, in accordance with the *NIH Grants Policy Statement*.
- Compliance with the NIH Public Access Policy is not a factor in the evaluation of grant applications. Non-compliance will be addressed administratively, and may **delay** or **prevent** awarding of funds.

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## How Can UCI Help?

- Advise authors and answer questions on complying with the NIH policy
- Assist in amending copyright transfer agreements
- Research publisher's policies on PMC or institutional repository submissions
- Identify publishers (in your subject area) that submit to PMC on the author's behalf
- Locate citation information and PMCIDs
- Provide group or personal presentations on the NIH policy and/or Open Access issues.

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## Support From UCI

- Informational websites
  - UCI Libraries  
<http://www.lib.uci.edu/scamp/nih-guide.html>
  - UCI Office of Research  
<http://www.research.uci.edu/ora/sp/NIHopenaccess.htm>
- Email
  - [nihgroup@uci.edu](mailto:nihgroup@uci.edu)
- [University of California Letter To Publishers](#)  
Signed by William Tucker, Executive Director, Research Administration and Technology Transfer

*UCI Libraries and Office of Research Administration*

## Retaining Your Author Rights

- Review your copyright transfer agreements carefully
  - NIH recommends that authors check agreements prior to submitting to a particular publisher for article review
- Must contain language that allows submission to PubMed Central
- If agreement does not allow NIH submission:
  - Insert NIH suggested language, OR
  - Use the [University of California Letter to Publishers](#)

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## Retaining Your Author Rights

- Add the following language recommended by the NIH:  
*Journal acknowledges that Author retains the right to provide a copy of the final 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.*
- Sign Copyright Transfer Agreement
- Immediately below your signature add: Subject to added language
- Attach the [University of California Letter to Publishers](#) to your copyright transfer agreement
- Sign the Copyright Transfer Agreement
- Immediately below your signature add the following: Subject to attached addendum

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## Article Submission

- Submit your article using the NIH Manuscript Submission form. The following information is needed for the submission:
  - PI name and email address
  - Title of the journal
  - Title of manuscript
  - Grant number(s)
  - Manuscript files (Word, Excel, PPT, TIFF, GIF, JPEG, PDF, etc.)
  - Embargo/Delay Time period

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### Final Manuscript Vs. Final Article

- **Final Peer-Reviewed Manuscript:** The Investigator's final manuscript of a peer-reviewed article accepted for journal publication, including all modifications made by the author 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 charges.

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### Submission Process Overview

- Authors or a third party can log on to the NIHMS to submit a copy of the accepted peer-reviewed manuscript and associated files (e.g., Microsoft Word document and figures).
- The submitter designates the NIH funding that supported the manuscript.
- The PI of the designated funding approves the submission, and affirms that copyright allows deposit to PMC.
- The NIHMS will convert the deposited files into a standard PMC format, and will email the PI to review the PMC-formatted manuscript to make any necessary corrections and approve its release.
- The NIHMS will automatically send the article to PubMed Central for public posting after the delay period specified during submission.

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5/29/09

## Contacts

- Office of Research
  - Contract and Grant Officer assigned to your department
  - General information number – 949-824-4768
  - Assistant Vice Chancellor Christina Hansen – 949-824-5677
  
- UCI Libraries
  - [nihgroup@uci.edu](mailto:nihgroup@uci.edu)
  - Reference Desks
    - Grunigen Medical Library – 714-456-5583
    - Langson Library – 949-824-4976
    - Science Library – 949-824-3705

UMassAmherst

## NIH Public Access Policy Mandate



Background and Action Steps  
by the  
University Libraries and  
Office of Grants and Contracts

University Libraries and Office of Research April 30, 2008

UMassAmherst

### OUTLINE

- NIH Mandate: Significance and Implementation
- Author Rights: Resources, Education and Outreach for Faculty and Students
- ScholarWorks@UMass Amherst digital repository
- Resources

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NIH Public Access Policy: Significance

- First Open Access (OA) mandate for major US funding agency
- First OA mandate for any government agency in the world adopted by legislature rather than by agency itself
- Sets precedent for other government funding agencies
- NIH is largest non-military funder of scientific research in world

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NIH Public Access Policy:  
When, What, Who

- Took effect April 7, 2008
- Original peer-reviewed articles including graphics and supplemental materials
- Funded by NIH grants, awards or contracts
- Deposited in PubMed Central (PMC) at time of acceptance for publication
- To be posted within one year of publication

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NIH Public Access Policy  
Compliance on Campus

- Responsibility rests with grantees (institutions) and to Principal Investigators (PI's) for each grant
- Know your grant recipients
- Library and Office of Research are logical pairing
- Include Administration Folks
  
- Education program – this is the first of potentially many federal grant funding mandates
- Provide easy-access information sources
- Create tools for authors to use
  - Sample notification letter
  - Sample wording for copyright transfer agreement

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NIH Public Access Policy  
Compliance Requirements

**Grantees** (institutions) and **Principal Investigators** responsible for compliance

Three actions required:

1. Make sure publishing agreement allows compliance with NIH policy
2. Submit post print version of manuscript to PubMed Central at the time of acceptance for publication
3. Include PMC ID number in NIH applications and reports when citing articles covered by policy

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NIH Public Access Policy  
Publishing Agreement

1. Make sure **publishing agreement** allows compliance with NIH policy
  - Inform publisher of NIH requirements when submitting manuscript
  - Ensure transfer of copyright to publisher allows compliance with policy
  - If publisher will not allow compliance, find another publisher

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NIH Public Access Policy  
PubMedCentral (PMC)

2. Submit post-print version of manuscript to PMC at time of acceptance for publication
  - Author can deposit manuscript in NIH Manuscript Submission System (NIHMSS); author verifies content
  - Publisher can deposit manuscript in NIHMSS; author verifies content
  - Publisher with established relationship with PubMed Central can deposit manuscript in NIHMSS; no author verification needed

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NIH Public Access Policy  
PMC ID number

**3. Effective May 25, 2008**, anyone submitting application, proposal, or progress report to NIH must include PMC ID Number or NIH Manuscript Submission reference number when citing applicable articles that arise from their NIH funded research

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NIH Public Access Policy  
Opportunities for information and help

**Libraries** can offer:

- Websites with information, links, people to contact
- Classes on copyright issues, author's rights and the mandate
- Forums on these topics
- Outreach to departments and labs

**Office of Research** can help:

- Modify formal guidelines for NIH grant recipients
- Offer quality assurance checks in the grant management process

**Administration** can:

- Set broad guidelines for how the institution will support authors and ensure compliance
- Provide support and resources for educational efforts

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### Action Steps for Faculty

- Manage copyright / retain author rights
- Select journals and publishers with access friendly policies
- Self-archive in UMass Amherst's digital repository <http://scholarworks.umass.edu>

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### Manage Copyright

- Retain Author Rights <http://www.arl.org/sparc/author/>
  - Reproduction
  - Distribution
  - Public performance
  - Modification of original work
- Modify publisher contracts
  - SPARC Authors Addendum <http://www.arl.org/sparc/author/addendum.html> or [http://scholarworks.umass.edu/for\\_authors.html](http://scholarworks.umass.edu/for_authors.html) or
  - Scholar's Copyright Addendum Engine(SCAE) from ScienceCommons <http://scholars.sciencecommons.org/>

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### Journals With Access-friendly Policies

- How to determine
  - SHERPA / RoMEO website  
<http://www.sherpa.ac.uk/romeo.php>
  - Publisher websites
- Journals that submit articles to PMC  
[http://publicaccess.nih.gov/submit\\_process\\_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm)
- Publishers who will submit to PMC upon request  
UMass Library staff can help you determine these journals
- Submit manuscript yourself when accepted for publication <http://www.nihms.nih.gov/>

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### SHERPA / RoMEO example

Springer

Pre-print: "tick" author can archive pre-print (ie pre-refereeing)  
Post-print: "tick" author can archive post-print (ie final draft post-refereeing)

Conditions:

- \* Author's own final version only can be archived
- \* On author's website or institutional repository or funders designated website/repository
- \* Published source must be acknowledged
- \* Must link to publisher version
- \* Set phrase to accompany link to published version (The original publication is available at [www.springerlink.com](http://www.springerlink.com))
- \* Articles in some journals can be made Open Access on payment of additional charge

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### Resources: NIH Public Access Policy

- NIH Public Access Policy from NIH  
<http://publicaccess.nih.gov/>
- NIH Public Access Policy from ARL  
<http://www.arl.org/sc/implement/nih/guide/>
- NIH Extramural Nexus  
<http://grants.nih.gov/grants/partners/0108Nexus.htm>
- NIH Public Access Policy Implementation – Current Details from SPARC  
<http://www.arl.org/sparc/advocacy/nih/>
- Alliance for Taxpayer Access – NIH Public Access Policy  
<http://www.taxpayeraccess.org/nih.html>


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### Resources: NIH Public Access Policy, more...

- Complying With the NIH Public Access Policy – Copyright Considerations and Options  
<http://www.arl.org/sparc/advocacy/nih/copyright.html>
- NIH Public Access Site (Includes extensive FAQ)  
<http://publicaccess.nih.gov/>
- Skill Kit NIH Manuscript Submission System – Get the Help You Need (NLM Tech Bulletin)  
[http://www.nlm.nih.gov/pubs/techbull/jf08/jf08\\_skill\\_kit\\_manuscript.html](http://www.nlm.nih.gov/pubs/techbull/jf08/jf08_skill_kit_manuscript.html)
- Complying with the National Institutes of Health Public Access Policy: Copyright Considerations and Options” White Paper by Michael Carroll from ARL, SPARC and Science Commons  
<http://www.arl.org/sparc/advocacy/nih/copyright.html>
- The NIH Mandate: An Open Access Landmark. CR&L News, February 2008 by Ray English and Heather Joseph  
<http://www.ala.org/ala/acrl/acrlpubs/crnews/backissues/2008/february08/nihupdate.cfm>

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Questions?

- **Office of Grants and Contracts**
  - Bruce McCandless, [mccandless@ora.umass.edu](mailto:mccandless@ora.umass.edu), 413-545-5283
  - Carol Sprague, [sprague@research.umass.edu](mailto:sprague@research.umass.edu), 413-545-0698
- **University Libraries**
  - Liaison librarians for academic departments  
[www.library.umass.edu/reference/liaisons.html](http://www.library.umass.edu/reference/liaisons.html)
  - Marilyn Billings, [mbillings@library.umass.edu](mailto:mbillings@library.umass.edu), 413-545-6891

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## NIH Public Access Policy

What are the implications for Penn State?

### Important Dates

- **April 7, 2008**  
As of April 7, 2008, all articles arising from NIH funds must be submitted to PubMed Central upon acceptance for publication.
- **May 25, 2008**  
As of May 25, 2008, NIH applications, proposals, and progress reports must include the PubMed Central reference number when citing an article 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.
- **The Law**  
The NIH Public Access 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.*

## Does the NIH Public Access Policy apply to me?

The Policy applies to you if your peer-reviewed article is based on work in one or more of the following categories:

- Directly funded by an NIH grant or cooperative agreement active in Fiscal Year 2008 (October 1, 2007- September 30, 2008) or beyond;
- Directly funded by a contract signed on or after April 7, 2008;
- Directly funded by the NIH Intramural Program.
- If NIH pays your salary.

## What does this mean?

- The author must ensure the publication agreement allows for submission to PubMed Central. The PI must ensure the article is submitted to PMC within the 12 month time frame.
- Must submit the accepted, peer reviewed manuscript.
- Must include the PubMed Central reference number when citing an article in NIH applications, proposals and progress reports.

### This doesn't sound so bad, what's the big deal?

- Copyright –
  - Inform the journal that the article is subject to the Public Access Policy when submitting it for publication.
  - Make sure that any copyright transfer or other publication agreement allows the article to be submitted to NIH in accordance with the Policy. 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.

### Continued....

- **What is the difference between a final peer-reviewed manuscript and final published article?**

***Final peer-reviewed manuscript:*** The Investigator'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.

## Submit the manuscript

- to the NIH Manuscript Submission (NIHMS) system (<http://www.nihms.nih.gov/>). There are detailed online instructions for the NIHMS at <http://www.nihms.nih.gov/web-help/index.html>. As an overview, here is how the NIHMS is used to collect articles for PubMed Central.
  - Authors or someone in their organization (e.g., an assistant or a librarian) can log on to the NIHMS to submit a copy of the accepted peer-reviewed manuscript and associated files (e.g., Microsoft Word document and figures).
  - The submitter designates the NIH funding that supported the manuscript.
  - The Principal Investigator (PI) of the designated funding approves the submission, and affirms that copyright allows deposit to PMC.
  - The NIHMS will convert the deposited files into a standard PMC format, and will email the PI to review the PMC-formatted manuscript to make any necessary corrections and approve its release.
  - The NIHMS will automatically send the article to PubMed Central for public posting after the delay period specified during submission.
  - Some journals will deposit peer-reviewed manuscript files on behalf of their authors through the NIHMS. When this happens, authors still have to provide the associated award information, and review and approve the article. The NIHMS will contact them by email to do so.
- The Harrell Library is offering "How to" classes. Check with the library for time and place.

## Must include the PMCID

- **Cite.** As of May 25, 2008, when citing an article in NIH applications, proposals, and progress reports that falls under the Policy, and was authored or co-authored by you or arose from your NIH award, you must include the PubMed Central reference number (PMCID). This policy includes applications submitted to the NIH for the May 25, 2008 due date and subsequent due dates.

## What are we doing?

- Created a Penn State wide website that will support our faculty as they navigate the submission process.  
<http://www.hmc.psu.edu/library/PMC/pmc1.htm>
- Developed training sessions that will provide step-by-step instructions for submitting manuscripts. Contact the library for time and place.
- Developed a model addendum agreement that faculty can use to negotiate retention of their copyrights.  
<http://www.hmc.psu.edu/library/PMC/amendment.pdf>

## Continued

- Working with Dr. Alan Snyder & Dr. Eva Pell to ensure this is a system wide resource that provides consistent information across all campuses.
- Keeping abreast of ongoing changes to the process.

## Remember!

- The Principle Investigator or Grantee is responsible, whether or not he/she is an author on a particular manuscript, to make sure personnel, even subcontractors, adhere to the NIH Public Access Policy.

## More Info

- For more information visit the NIH Public Access Policy page: <http://publicaccess.nih.gov/FAQ.htm>
- ARL: Guide for Implementing NIH Public Access Policies  
<http://www.arl.org/sc/implement/nih/guide/index.shtml>
- Chart: When do NIH funded authors need to comply?  
<http://becker.wustl.edu/pdf/NIHChart.pdf>

## Publisher Policies

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SCAMP »

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**NIH PUBLIC ACCESS PUBLISHER POLICIES FOR TOP 100  
UC-AUTHORED SCIENCES JOURNALS**


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UC faculty and researchers should note that all information below relates to publishers' standard author agreements. UC authors can negotiate various elements of these agreements. UC authors can also include The University of California Letter To Publishers with the author agreement to allow the author to deposit into PMC regardless of publisher requirements. UC authors should think carefully before agreeing to any PMC/NIH public-access-related fees, consult University of California Scholarly Communication Policy.

Journal Name	PMC Deposit Policy?	Who Deposits to PMC	Embargo Period	Optional Fee for Immediate Access	Publisher Link to NIH Policy Page or Related Policy
ABSTRACTS OF PAPERS OF THE AMERICAN CHEMICAL SOCIETY	Yes	Publisher OR Author	12	Yes	AMERICAN CHEMICAL SOCIETY
AIDS	Yes	Publisher Only	12	No Specific Information	LIPPINCOTT WILLIAMS & WILKINS
ALCOHOLISM-CLINICAL AND EXPERIMENTAL RESEARCH	Yes	Publisher Only	12	Yes	BLACKWELL (WILEY)
AMERICAN JOURNAL OF CARDIOLOGY	Yes	Publisher Only	12	No Specific Information	ELSEVIER
AMERICAN JOURNAL OF OBSTETRICS AND GYNECOLOGY	Yes	Publisher Only	12	No Specific Information	ELSEVIER
AMERICAN JOURNAL OF OPHTHALMOLOGY	Yes	Publisher Only	12	No Specific Information	ELSEVIER
AMERICAN JOURNAL OF PHYSIOLOGY-HEART AND CIRCULATORY PHYSIOLOGY	Yes	Publisher Only	12	Yes	AMERICAN PHYSIOLOGICAL SOCIETY
ANALYTICAL CHEMISTRY	Yes	Publisher OR Author	12	Yes	AMERICAN CHEMICAL SOCIETY
ANGEWANDTE CHEMIE-INTERNATIONAL EDITION	Yes	Publisher Only	12	Yes	WILEY-V C H VERLAG GMBH
ANNALS OF EMERGENCY MEDICINE	Yes	Publisher Only	12	No Specific Information	ELSEVIER



ANNALS OF INTERNAL MEDICINE	Yes	Author Only	6	No	AMERICAN COLLEGE OF PHYSICIANS
APPLIED PHYSICS LETTERS	Yes	Publisher Only	12	Yes	AMERICAN INSTITUTE OF PHYSICS
ARTHRITIS AND RHEUMATISM	Yes	Publisher Only	12	Yes	WILEY-LISS
ASTRONOMICAL JOURNAL	Yes	Author Only	12	No Specific Information	UNIVERSITY OF CHICAGO PRESS
ASTRONOMY & ASTROPHYSICS	No Specific Policy	No Specific Information	No Specific Information	Yes	EDP SCIENCES S A *
ASTROPHYSICAL JOURNAL	Yes	Author Only	12	No Specific Information	UNIVERSITY OF CHICAGO PRESS
BIOCHEMICAL AND BIOPHYSICAL RESEARCH COMMUNICATIONS	Yes	Publisher Only	12	No Specific Information	ELSEVIER
BIOCHEMISTRY	Yes	Publisher OR Author	12	Yes	AMERICAN CHEMICAL SOCIETY
BIOLOGICAL PSYCHIATRY	Yes	Publisher Only	12	No Specific Information	ELSEVIER
BIOPHYSICAL JOURNAL	Yes	Publisher Only	12	Yes	BIOPHYSICAL SOCIETY **
BLOOD	Yes	Publisher Only	12	Yes	AMERICAN SOCIETY OF HEMATOLOGY
CANCER	Yes	Publisher Only	12	Yes	JOHN WILEY & SONS INC
CANCER RESEARCH	Yes	Author Only	12	No Specific Information	AMERICAN ASSOCIATION OF CANCER RESEARCH
CELL	Yes	Publisher Only	12	No Specific Information	CELL PRESS
CHEMISTRY OF MATERIALS	Yes	Publisher OR Author	12	Yes	AMERICAN CHEMICAL SOCIETY
CIRCULATION	Yes	Publisher Only	12	No Specific Information	LIPPINCOTT WILLIAMS & WILKINS
CLINICAL CANCER RESEARCH	Yes	Author Only	12	No Specific Information	AMERICAN ASSOCIATION OF CANCER RESEARCH
CLINICAL INFECTIOUS DISEASES	Yes	Author Only	12	No Specific Information	UNIVERSITY OF CHICAGO PRESS

COMITATUS-A JOURNAL OF MEDIEVAL AND RENAISSANCE STUDIES	No	No Specific Information	No Specific Information	No Specific Information	UNIVERSITY OF CALIFORNIA CENTER FOR MEDIEVAL RENAISSANCE STUDIES *
CURRENT BIOLOGY	Yes	Publisher Only	12	No Specific Information	ELSEVIER
DEVELOPMENT	Yes	Author Only	6	Yes	COMPANY OF BIOLOGISTS LTD
DEVELOPMENTAL BIOLOGY	Yes	Publisher Only	12	No Specific Information	ELSEVIER
EARTH AND PLANETARY SCIENCE LETTERS	Yes	Publisher Only	12	No Specific Information	ELSEVIER
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The screenshot shows a LibGuides page with a header for the University of Illinois at Urbana-Champaign. The page title is "Guide to the NIH Public Access Mandate" with tags "nih open\_access pubmed\_central". The main text explains that researchers funded by the NIH must submit articles to PubMed Central for public access. The page includes a navigation menu with sections: "1: Copyright considerations", "2: Submitting your paper", and "3: Your next grant". The "Let us do it for you!" section is highlighted, containing a list of services: "Your (Copy)Rights", "Submission", and "IDEALS". Contact information for Katie Newman and Sarah Shreeves is provided. The footer includes a disclaimer: "Powered by Springshare; All rights reserved. Report a tech support issue. View this page in a format suitable for printers, mobile devices and screen-readers." and the University of Illinois contact information.

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Researchers funded by the NIH must, at the time they submit articles for publication, also submit the article to PubMed Central for public access. This Guide explains the steps for doing this.

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- Your (Copy)Rights**

Contact us if you need help deciding whether you have the right to deposit your paper into PubMed Central. Although compliance to the Policy is mandatory, authors are still required to comply with Copyright Law. Although the Library cannot offer legal advice, we have experience reading Publisher's Copyright Transfer Forms and can guide you to a better understanding of your rights.
- Submission**

The Library, acting as your surrogate, can submit your files to the NIH Manuscript Submission system for you.

  - The Author will need to send the following information to us:
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**Sarah Shreeves**  
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## **SELECTED RESOURCES**



## ARTICLES AND BOOKS

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- Autism Speaks. "Policy on Public Access to the Research We Fund." December 3, 2008. [http://www.autismspeaks.org/science/overview/policies/policy\\_on\\_public\\_access\\_to\\_research.php](http://www.autismspeaks.org/science/overview/policies/policy_on_public_access_to_research.php)
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Case Western Reserve University Cleveland Health Sciences Library. "NIH Public Access Information."  
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<http://library.ucr.edu/?view=scholarly/nih1.html>

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University of California Sheldon Margen Public Health Library. "NIH Public Access Policy Guide."  
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University of Wisconsin-Madison Libraries. "Scholarly Communication and Publishing: NIH Public Access Policy: Frequently Asked Questions."  
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## **Handouts**

Cornell University Library. "New NIH Reporting Requirements."  
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University of California – San Francisco Library. "Using RefWorks to Capture the PMCID."  
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SPARC Open Access Newsletter.  
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<http://library.wustl.edu/offtheshelf/OTSspr08.pdf>

## Presentation Slides

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<http://eprints.rclis.org/16087/2/BCLA2009D.pdf>

## Publisher Policies

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[http://oad.simmons.edu/oadwiki/Publisher\\_policies\\_on\\_NIH-funded\\_authors](http://oad.simmons.edu/oadwiki/Publisher_policies_on_NIH-funded_authors)

SHERPA. "ROMEO – Publisher Copyright Policies & Self-archiving."  
<http://www.sherpa.ac.uk/romeo/>

## Submission Services

Medical College of Wisconsin. "MCW Libraries Third Party Submitter Service."  
<http://www.mcw.edu/mcwlibraries/SubmissionService.htm>

Oregon State University Library. "OHSU Library NIH Third-party Submittal Service."  
<http://library.ohsu.edu/forms/nihsub.php>

[Rutgers University] Rucore Rutgers Community Repository. "NIH Public Access Requirements."  
<http://rucore.libraries.rutgers.edu/nih/index.php>

## Other Resources

Alliance for Taxpayer Access.  
<http://www.taxpayeraccess.org/>

Allen, Susan D., John L. Anderson, Lawrence B. Dumas, *et al.* "An Open Letter to the Higher Education Community." July 28, 2006.  
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*Note:* All URLs accessed June 19, 2009.