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

Rosenzweig, Merle; Nix, Tyler A

http://hdl.handle.net/2027.42/135144
The NIH Public Access Policy: Grant Writing, Progress Reports, and My Bibliography, Oh My!

Merle Rosenzweig
oriley@umich.edu
Tyler Nix
tnix@umich.edu
What will be covered

• About the NIH Public Access Policy (NIHPAP)
• Complying with NIHPAP
• The NIH Manuscript Submission (NIHMS)
• My Bibliography via MyNCBI
• NIH Progress Reports (RPPR)
The policy’s rationale is that when research funding comes from taxpayer dollars, the public should be able to view research outputs.

Policy language:
“The Director of the National Institutes of Health ("NIH") shall require...all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication: Provided, that the NIH shall implement the public access policy in a manner consistent with copyright law.” (source: https://publicaccess.nih.gov/policy.htm)
How do I comply?

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

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

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

The onus of compliance falls on the NIH Grantee, even if the grantee is not a paper’s author. If a graduate student has written a paper supported by NIH funding through an NIH Grantee’s lab, the NIH Grantee is ultimately responsible for the graduate student’s paper being NIHPAP compliant.
As soon as you get the notification that a paper is accepted for publication, start the process. At this stage you still have easy access to the documents you need (final draft, image files, tables of contents, etc.) and your co-authors or graduate students haven’t yet moved to other universities, etc.

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

1. Retain legal rights to deposit paper in PMC

2. If depositing to PMC is not specified in agreement, add wording to agreement* or contact publisher

3. If depositing to PMC is addressed in agreement, determine
   – what will the publisher do?
   – what will you need to do?

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

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

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

Determining what you need to do to submit your paper to PMC depends on the publisher/author agreement, and will fall into 1 of 4 methods.
Methods A & B are in place with select publishers who are equipped to send automatically formatted (XML) versions of your paper, behind the scenes, directly to PMC.

Methods C & D are manual processes that involve a person actually uploading documents which are then specially formatted for PMC. The NIHMS system is what does the formatting.
In Method A, you don’t have to do anything extra to submit your paper to PMC, the publisher takes care of it for you.

See a full list of the Method A journals at https://publicaccess.nih.gov/submit_process_journals.htm
Some publishers are equipped to submit your paper directly to PMC, but they don’t do it automatically. With these publishers, you’ll need to ask them to post the paper to PMC for you. This process is often subject to an additional fee(s). Such fees can be covered by your NIH grant if included in the original application.

See a full list of the Method B journals at https://publicaccess.nih.gov/select_deposit_publishers.htm#b
Where methods A and B involve the publisher sending the paper directly to PubMed Central, methods C & D will require that either the grantee, or someone at the publisher, manually upload your paper to PMC via the NIHMS system.

In method C, deposit has to be done by the NIH Grantee. Method C is often required when the author agreement has not made any mention of NIHPAP compliance; in these cases it’s imperative to contact the publisher to retain your right to post a final draft.
In method D, the paper will be deposited to NIHMS by someone at the publisher. After initial deposit by the publisher, an NIH Grantee or designate is usually required to follow-up to review and approve the NIHMS-formatted paper before it’s assigned a PMCID#.

See a full list of the Method D journals at https://publicaccess.nih.gov/select_deposit_publishers.htm#d
This tool will help you to determine which of the four methods you need to use and how to do each one step-by-step. You can download it by following the link on this slide.
Available at http://hdl.handle.net/2027.42/107424
National Institutes of Health (NIH)
NIH Manuscript Submission (NIHMS)
All About NIHMS

• Purpose.

• What it does.

• Using NIHMS.

• What materials are submitted?

• The system was developed to facilitate the submission of peer-reviewed manuscripts supported by NIH grants for inclusion in PubMed Central (PMC) in support of the NIH Public Access Policy.

• The NIHMS system allows users – NIH grantees, authors, publishers – to supply material for conversion in a wide range of electronic formats that can be loaded into PMC.

• All the files associated with the peer-reviewed, accepted manuscript need to be submitted to NIHMS—
  o Title page with author and affiliation information
  o Main text of the manuscript (*Manuscript files may contain embedded figures and tables.)
  o References
  o Figures
  o Tables
  o Appendices
  o Supplementary files (online, electronic, etc.)
Navigating the NIHMS Process

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

Table courtesy NIH- https://www.ncbi.nlm.nih.gov/books/NBK3846/
NIHMS Manuscript Submission System - https://www.nihms.nih.gov/db/sub.cgi
New manuscript submission

1. Title Information

Provide citation information using one of the options below.

Option 1. Enter the manuscript and journal titles

Manuscript Title: New-onset diabetes mellitus in kidney transplant recipients discharged on steroid-free immunosuppression.

Journal Title: Transplantation

Option 2. Search for citation in PubMed

Option 3. Find citation in My NCBI Bibliography

Cancel Submission
Enter project support information

Search by

AND/OR

Search Results:

<table>
<thead>
<tr>
<th>Grant/Project ID</th>
<th>Select</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>K23 DK082294</td>
<td></td>
<td>Renal and Cardiovascular Events in Patients with C</td>
</tr>
<tr>
<td>Type</td>
<td>Label</td>
<td>File</td>
</tr>
<tr>
<td>--------------</td>
<td>-------</td>
<td>---------------</td>
</tr>
<tr>
<td>Manuscript</td>
<td></td>
<td>Browse...</td>
</tr>
<tr>
<td>Figure</td>
<td></td>
<td>Browse...</td>
</tr>
<tr>
<td>Table</td>
<td></td>
<td>Browse...</td>
</tr>
<tr>
<td>Supplemental</td>
<td></td>
<td>Browse...</td>
</tr>
</tbody>
</table>

Add another: Manuscript, Figure, Table, Supplemental
New-onset diabetes mellitus in kidney transplant recipients discharged on steroid-free immunosuppression.
Journal: Transplantation

<table>
<thead>
<tr>
<th>Type</th>
<th>Label</th>
<th>File</th>
<th>Size</th>
<th>Date</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manuscript</td>
<td>Browse...</td>
<td>New-Onset Diabetes Mellitus.docx</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Figure</td>
<td>Figure 1 The nom</td>
<td>Browse... Figure 1.png</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Table</td>
<td>Table 1 Describe</td>
<td>Browse... Table 1.png</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Supplemental</td>
<td>Browse...</td>
<td>No file selected.</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Figure</td>
<td>Figure 2 bottom</td>
<td>Browse... Figure 2.png</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Table</td>
<td>Table 2 Factors</td>
<td>Browse... Table 2.png</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Table</td>
<td>Table 3 Display</td>
<td>Browse... Table 3.png</td>
<td></td>
<td></td>
<td>x</td>
</tr>
</tbody>
</table>

Add another: □ Manuscript, □ Figures, □ Tables, □ Supplemental
New-Onset Diabetes Mellitus in Kidney Transplant Recipients Discharged on Steroid-Free Immunosuppression

Liao, F., Fu, Y., Valeri, S., Dore C., Jha, N., and Zisti M.1,2

Author Information:
1 Division of Nephrology, Department of Internal Medicine, University of Michigan, Ann Arbor, MI
2 Scientific Registry of Transplant Recipients, After Transplant Collaborative for Health, Ann Arbor, MI. This work was supported by the Scientific Registry for Transplant Recipients grant 2U01-HS013106-02; Health Resources and Services Administration, U.S. Department of Health and Human Services (D.H.S.); and by NIH grant NIDDK/NIAID (A.O.S.). A.O.S. received grant support from Pfizer, Inc, for a separate investigator-initiated research project and received consulting fees and speaking honoraria from Pfizer, Genzyme, Roche, and others.

Presented at the American Transplant Congress, 2016, Boston, MA.
Address correspondence to: Fu Liao, M.D., University of Michigan Health System, 3014 Taubman Center Box 1045, 1500 East Medical Center Drive, Ann Arbor, MI 48109-2045. E-mail: f.liu@umich.edu
F.L. participated in study design and manuscript preparation; C.R.S. participated in data collection; statistical analyses, and manuscript preparation; and A.O.S. participated in the study design and manuscript preparation.
Revision 22 April 2016; Revision accepted 19 May 2016; Accepted 26 October 2016

Abstract

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

Methods: A total of 25,037 previously nondiabetic kidney transplant patients, enrolled between January 1, 2004, and December 31, 2009, were included in the study. Logistic regression analysis was used to compare the risk of developing NODAT within 3 years after transplant for patients discharged with and without steroid-containing maintenance immunosuppression regimens. The cost of transplant program-level practice regarding steroid-free regimens on the risk of NODAT was studied as well.

Results: The cumulative incidence of NODAT within 3 years of transplant was 16.7% overall, 17.7% with maintenance steroids and 12.3% without (P<0.001). Patients discharged without steroids had 47% greater odds of developing NODAT compared with...
Review of NIHMS submission statement

Submission Statement

Manuscript Title: Novel oral diabetes mellitus in kidney transplant recipients discharged on steroid-free immunosuppression.
Accepted for Publication in Transplantation

I, the author(s) of this manuscript, hereby certify that I have not previously published or submitted this manuscript for publication in any journal. I further certify that this manuscript is not currently under consideration for publication in any journal and that it has not been previously published in any journal.

Publication and Copyright Agreements: I confirm that I have read and agreed to the terms of publication and copyright agreements associated with this journal. I certify that all authors have read and agreed to the terms of publication and copyright agreements associated with this journal.

Confidentiality: The manuscript may contain confidential information that must not be publicly disclosed prior to publication in a scientific journal. I certify that all authors have read and agreed to the terms of publication and copyright agreements associated with this journal.

Funding: The manuscript is the result of research supported, in whole or in part, by research funds from NIH.

Change Release Date

[Buttons: Agree, Disclose]
When will a PMCID be assigned to my manuscript?

A PMCID is assigned when the following two criteria are met:
1. The converted materials (i.e., the PMC-ready documents) have been approved by the Reviewer and
2. The article has been matched to a Pub Med record for one of the following:
   a. a final print publication date or
   b. an electronic publication date for a journal that is an electronic publication only or
   c. an electronic publication date for a journal where Published has not received the final print publication data within 6 months of the electronic publication date

How can I monitor a submission not associated with my account in NIHMS?
How can I take over Reviewer responsibilities for a submission in NIHMS?
How can I take over Reviewer responsibilities if I am not associated with a record in NIHMS?
What if I need to make corrections to the text of a manuscript in NIHMS?
Why hasn’t the submitter provided the final published version of the manuscript?
How do I associate funding with a submission?
## Citing NIHPAP Publications

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

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

The “My Bibliography” Tool in My NCBI is used for Bibliography Management by NIH Grantees in eRA Commons and allows to associate publications with grant awards, and ensure compliance with the NIH Public Access Policy.
<table>
<thead>
<tr>
<th>Status</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>NIH Public Access Compliance: Complete</td>
<td>PMCID: PMC1699040</td>
</tr>
<tr>
<td>NIH Public Access Compliance: In Process</td>
<td>[Edit Status]</td>
</tr>
<tr>
<td>NIH Public Access Compliance: Non-compliant</td>
<td>No PMCID 3 months post publication, [Edit Status]</td>
</tr>
<tr>
<td>NIH Funding</td>
<td></td>
</tr>
<tr>
<td>NIH Public Access Compliance: Not applicable</td>
<td>[Edit Status]</td>
</tr>
<tr>
<td>NIH Funding</td>
<td></td>
</tr>
</tbody>
</table>

The My Bibliography account must be linked to an eRA Commons account.
Step-by-step instructions:
1. Sign into the My NCBI account, then click on the user name in the upper right hand corner.
2. On the resulting page, click the "Change" button next to the Linked Account section if no linked account is already listed.
3. From the Login Account Options list, choose the NIH & eRA Commons.
4. You can log in on the resulting page using your eRA Commons username and password.
5. References saved in My Bibliography automatically appear in eRA Commons once the two are linked.
6. When your My NCBI account is linked to your eRA Commons account, you will see an eRA icon at the top of your My Bibliography page.
Delegating Access to My Bibliography
Users can grant access to My Bibliography using the delegate function.
• Click on the "Manage My Bibliography" link.
• Click the "Add a Delegate" link.
• Enter your delegate's email address, then click the "Add Delegate" button.
• The delegate will receive an email with a link to activate access to your account.
• The delegate must have a My NCBI account.
• The "Awaiting confirmation" status will be updated after the delegate activates access to your account.
Reporting Publications in an NIH Research Performance Progress Report (RPPR)

• Before publications can be added to the NIH progress report, they must first be added to the NIH Grantee’s My Bibliography.

• In the eRA Commons progress report, there is a section specific to publications and manuscripts accepted for publication under the tab called “Products.”

• There will be three tables under Products.
The three tables are as follows:

1. All publications not previously reported to NIH electronically that are in My Bibliography and which are associated with the award.

2. All publications in the NIH Grantee’s My Bibliography that are not specifically associated with the award.

3. All publications reported on prior progress reports are listed on the third table.

- Publications associated with the current project are automatically checked. If you uncheck any of them, they will not be included in the progress report, and the association with your award in My NCBI will also be removed. Before taking this action, be sure to review the publication itself to ensure that the award is not cited as supporting the work described in the publication.

- Checking the box next to one of these publications will add the publication to the progress report and associate it with the award in My NCBI. Refresh the screen to move any checked publications from this table to the first table.
Tips on Compliance & Working with RPPR
Does this Paper Fall Under NIHPAP?
If grant information does not appear in the record in PubMed/Medline...
All hormone-producing cell types of the pituitary intermediate and anterior lobes derive from Prop1 expressing progenitors

Shannon W. Davis, Jessica L. Keister, María I. Pérez-Millán, Vanessa Schade, and Sally A. Camper

Address all correspondence and requests for reprints to: Shannon W. Davis, Department of Biological Sciences, University of South Carolina, 715 Sumter St, OLS room 401, Columbia, SC, USA 29608. Phone: +1-803-777-8349, Fax: +1-803-777-4002, e-mail: swdavis@mailbox.sc.edu.

DOI: http://dx.doi.org/10.1210/en.2015-1862
Received: October 09, 2015
Accepted: January 22, 2016
First Published Online: January 26, 2016

Pull up the full-text
The Acknowledgements list several NIH grants. This publication does fall under the NIHPAP.
Why is this publication listed as non-compliant in RPPR?

It has a NIHMSID!
NIHMS can only be used for 3 months post publication date and this article was published in October 2014. After 3 month grace period, PMCID is required for compliance.
To determine how to move the process on to getting a PMCID assigned, login to the NIH Manuscript Submission System (NIHMS) and search for the NIHMSID.

NIHMS Manuscript Submission System- https://www.nihms.nih.gov/db/sub.cgi
The PMCID has not been assigned because the reviewer has not approved the deposit. Once the deposit is approved it will take about 6-8 weeks for a PMCID to be assigned.