UCLA Library Outreach on the NIH Public Access Policy: Challenges and Opportunities

November 18, 2010
UCLA Office of Research Administration
Research Administrators’ Forum

Sharon E. Farb    Janet D. Carter
UCLA Library Scholarly Communications Steering Committee
Library Outreach to Faculty

- Using Copyrighted Material in Teaching and Research
- Managing Your Copyright
- Copyright 101 For Tas
- Fair Use
- NIH
- New Forms of Scholarly Publishing
NIH Public Access Policy

. . . require[s] that investigators funded by the NIH submit or have submitted . . . an electronic version of their final, peer-reviewed papers upon acceptance for publication to be made publicly available no later than 12 months after the official date of publication

Division G, Title II, Section 218 of the Consolidated Appropriations Act of 2008

http://publicaccess.nih.gov/policy.htm
Benefits of the Policy

The legislation broadens access to and dissemination of the scholarly record. Making the results of federally funded research publicly accessible is important not only to NIH, but also to:

- achieving UC’s mission as a public university to create and disseminate knowledge for the betterment of our global society through commitment of academic freedom, including open access to information.
- UCLA Library supports UC mission by supporting NIH as part of larger strategic initiative to provide broadest public access and use of scholarly record.
UCLA Library Faculty and Researcher Outreach Re NIH

October 13, 2008 First Library NIH Public Access Seminar
Since then quarterly seminars open to all plus
Departmental Seminars plus
One-on-one, small group consultation
Over 200 faculty and researchers attended since inception
Challenge: How can we collaborate to expand capacity to reach majority funded researchers?
NIH and other Public Access Initiatives

- Wellcome Trust
- Howard Hughes Medical Center
- National Institute of Health (NIH)
- The Federal Research Public Access Act
  - $100 million or more to provide the public with online access to research manuscripts stemming from funded research no later than six months after publication in a peer-reviewed journal
# UCLA NIH Awards 2009

<table>
<thead>
<tr>
<th>Funding Mechanism</th>
<th>Dollar Amount</th>
<th>Number Awarded</th>
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</thead>
<tbody>
<tr>
<td>Other</td>
<td>$1,575,940</td>
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<td>Fellowships</td>
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<td><strong>Total</strong></td>
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More on UCLA NIH

<table>
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<tr>
<th>Major Component</th>
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<tbody>
<tr>
<td>School of Medicine</td>
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<td>School of Arts and Sciences</td>
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<td>Overall Medical</td>
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UCLA Library Outreach
Highlights

- October 13, 2008
- October 28, 2008
- February 25, 2009
- April 28, 2009
- December 10, 2009
- March 4, 2010

- School of Nursing
- School of Medicine
- Neurology Faculty
- Radiation Oncology
- RCMAR/CHIME
- CURE
Purpose of the Policy

- **Archive**: Create a central collection of NIH-funded research
- **Advance**: Provide an information resource for scientists to research publications and for the NIH to better manage its entire research investment
- **Access**: Makes available to the public research publications resulting from NIH-funded research
The policy applies to any final manuscript that:

- Is peer-reviewed
- Is accepted for publication in a journal on or after April 7, 2008
- Arises from:
  - Any direct funding from an NIH grant or cooperative agreement active in Fiscal Year 2008
  - Any direct funding from an NIH contract signed on or after April 7, 2008
  - Any direct funding from the NIH Intramural Program
Policy Does Not Apply

• Non-peer-reviewed materials such as letters, editorials or book chapters

• The full applicability criteria are at:
  http://publicaccess.nih.gov/determine_applicability.htm

NOTE: Review articles, which were excluded in the prior voluntary policy are covered in the current policy only if they are peer-reviewed

1 - Thakur, Neil, Ph.D., Office of Extramural Research, National Institutions of Health, Email communication, June 30, 2009.
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 final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. To help advance science and improve human health, the Policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication.

How to Comply

All of your papers that fall under the NIH Public Access Policy, whether in press or in print, must include evidence of compliance in all of your NIH applications and reports.

1. **Determine Applicability**
   Does the NIH Public Access Policy apply to your paper?

2. **Address Copyright**
   Ensure your publishing agreement allows the paper to be posted to PubMed Central in accordance with the NIH Public Access Policy.

3. **Submit Paper**
   Submit papers to PubMed Central and approve public release.

4. **Include PMCID in Citations**
   Include the PMCID at the end of the full citation in your application or report.
Address Copyright

• Institutions and investigators are responsible for ensuring full compliance with the Public Access Policy, including that any copyright or other agreements are consistent with submitting to PMC.

• **Before** an author signs a publication agreement or similar copyright transfer agreement, the author should make sure that the agreement allows the final published manuscript to be submitted to NIH in accordance with the Public Access Policy.
NIH Sample Copyright Wording

• “Journal acknowledges that Author retains the right to provide a copy of the final peer-reviewed 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.”

FAQ II, B3 (http://publicaccess.nih.gov/FAQ.htm#778)
How to Submit Articles/Manuscripts

Two Ways (4 methods):
1. Publisher deposits articles in PubMed Central.
2. Author, or someone acting on behalf of the author, deposits the article through the NIH Manuscript Submission System.

Regardless of who submits, the PI must verify and approve the manuscript personally via the NIH Manuscript Submission system.
4 Submission Methods

• **Method A** - Journal deposits final published articles in PubMed Central without author involvement

• **Method B** - Author asks publisher to deposit specific final published article in PMC

• **Method C** - Author deposits final peer-reviewed manuscript in PMC via the NIHMS

• **Method D** – Publisher deposits manuscript; author approves and completes the process
When to Submit

If the journal you are publishing in:

- does not automatically submit your manuscript to PubMed Central
  AND

- if the publisher allows you to comply with the NIH policy


Tutorials for the submission system are available:

Look for [nihms] in email subject lines for communications about your submissions.
Checking Journal Policies

Look for the journal on the list of journals that automatically submit final articles to PubMed Central:
http://publicaccess.nih.gov/submit_process_journals.htm

If the journal IS NOT on this list, check the journal Web site for a statement about the NIH policy, check the copyright transfer agreement, or personally contact the editor in chief and ask him/her.

This information and more may be available at the SHERPA/RoMEO site:
http://www.sherpa.ac.uk/romeo.php
The NIH Manuscript Submission system allows you to submit an electronic version of your peer-reviewed final manuscript for inclusion in PubMed Central.

**News & Updates**

Sign up with the NIHMS News list to get email notification of significant updates with the system.

NIHMS (NIH Manuscript Submission) system is currently accepting submissions from:

- **eRA Commons** (for NIH Extramural principal investigators, grantees or applicants)
- **NIH Login** (for Intramural NIH scientists and staff)
- **HHMI Login** (for HHMI-funded investigators)
  - **My NCRI** (for third party submittees)
- **Publishers** that have registered for an NIHMS Publisher Login account
- **Wellcome Trust**
  (submissions of Wellcome Trust funded articles now need to be made with the [UK Manuscript Submission System (UKMSS)](https://www.ukmss.net))

**Help**

- **What is the NIH Public Access Policy?** The NIH maintains a [web page](https://publicaccess.nih.gov/) with information relating to the [Public Access Policy](https://publicaccess.nih.gov/).
- **Do you have questions about the submission process?** Refer to the [NIHMS FAQ](https://www.nihms.nih.gov/FAQ). Illustrated submission tutorials are also available.
- **Publishers** may find information on how to submit on behalf of authors as well as other concerns in the [Publisher FAQ](https://www.nihms.nih.gov/FAQ).
- The [NIHMS] also maintains a help desk to assist users with manuscript submissions, and answer any questions related to the submission process. [Contact the help desk](https://www.nihms.nih.gov/contact) with your queries.
- **Email questions and comments** regarding the NIH Public Access Policy to [PublicAccess@nih.gov](mailto:PublicAccess@nih.gov).
The NIH Manuscript Submission allows you to submit an electronic version of your peer-reviewed final manuscript for inclusion in PubMed Central. Eligible manuscripts must have been funded by one of the participating groups listed in the login table below.

**Choose a login route:**

<table>
<thead>
<tr>
<th>Route</th>
<th>Users</th>
<th>Policy</th>
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<tbody>
<tr>
<td>eRA Commons</td>
<td>NIH extramural principal investigators, grantees or applicants</td>
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<tr>
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<td>NIH intramural scientists</td>
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<tr>
<td>HHMI</td>
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<tr>
<td>myNCBI</td>
<td>others</td>
<td><img src="https://example.com" alt="Not applicable" /></td>
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</table>

You should use the same login for all subsequent visits.

NIHMS does not maintain these login routes. If you experience problems with your login, please contact the institution that is responsible for the account.

If you do not have an account, please click on the proper login route to create one (except NIH and Publisher login routes). myNCBI allows users to create new accounts.

For more information on how to use this system to submit your manuscript see User's Guide.

The National Institutes of Health Manuscript Submission (NIHMS) system is a service of NCBI.
PubMed Central vs. PubMed

PubMed Central (PMC) is an electronic archive of full-text journal articles, offering free access to its contents. PMC contains more than half a million articles, most of which have a corresponding entry in PubMed.

PubMed is a database of citations and abstracts for millions of articles from thousands of journals. It includes links to full-text articles in several thousand journal Web sites as well as to most of the articles in PubMed Central.

PMCID is provided on PMC records as well as on PM citations.
Preventive HIV vaccine acceptability and behavioral risk compensation among a random sample of high-risk adults in Los Angeles (I A VOICES)

Newman PA, Lee SJ, Duan N, Rudy E, Nakazone TK, Dosserchin J, Kakinami L, Shoptaw S, Diamant A, Cunningham WE.

Centre for Applied Social Research, Factor-Inwentash Faculty of Social Work, University of Toronto, 246 Bloor Street West, Toronto, Ontario, Canada.

Abstract

OBJECTIVE: To assess HIV vaccine acceptability among high-risk adults in Los Angeles.

STUDY SETTING: Sexually transmitted diocese clinic, needle/syringe exchange program, Latina community health HIV prevention program.

STUDY DESIGN: Cross-sectional survey using conjoint analysis. Participants were randomly selected using three-stage probability sampling.

DATA COLLECTION: Sixty-minute structured interviews. Participants rated acceptability of eight hypothetical vaccines, each with seven dichotomous attributes, and reported post-vaccination risk behavior intentions.

PRINCIPAL FINDINGS: Participants (n=1164: 55.7 percent male, 82.4 percent ethnic minority, mean age=37.4 years) rated HIV vaccine acceptability from 28.4 to 88.6; mean=54.5 (SD=18.8, 100-point scale). Efficacy had the greatest impact on acceptability, followed by side effects and out-of-pocket cost. Ten percent would decrease condom use after vaccination.

CONCLUSIONS: Findings support development of social marketing interventions to increase acceptability of "partial efficacy" vaccines, behavioral interventions to mitigate risk compensation, and targeted cost subsidies.

PMCID: PMC2796320 [Available on 2010/12/1]
**PubMed Central (PMC)** is the U.S. National Institutes of Health (NIH) free digital archive of biomedical and life sciences journal literature.

Browse PMC journals:

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<tr>
<th>A-B</th>
<th>C-H</th>
<th>I-M</th>
<th>N-S</th>
<th>T-Z</th>
<th>New</th>
<th>Special Collections</th>
</tr>
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</table>

Receive notice of new journals and other major updates to PMC: join the [PMC News mail list](mailto:PMC-news-request@listserv.nih.gov) or subscribe to the PMC News [RSS feed](http://www.ncbi.nlm.nih.gov/pmc/rss/). All the articles in PMC are free (sometimes on a delayed basis). Some journals go beyond free, to [Open Access](http://www.pmc-nih.gov//oa.html). Find out what that means.

PMC's [utilities](http://www.ncbi.nlm.nih.gov/pmc/utils/) include an OAI service that provides XML of the full-text of some articles, functions for scripting PMC searches and linking to specific PMC articles from your site, and more...


The [PMC journal list](http://www.ncbi.nlm.nih.gov/pmc/journals/) comprises journals that deposit material in PMC on a routine basis and generally make all their published articles available here. Find out how to [include your journal](http://www.ncbi.nlm.nih.gov/pmc/submission.html) in PMC.

PMC also has the [author manuscripts](http://www.ncbi.nlm.nih.gov/pmc/author_manuscripts/) of articles published by NIH-funded researchers in various non-PMC journals. Increasing free access to these articles is the goal of the NIH [Public Access](http://www.nih.gov/whatis/oa/index.htm) policy. Similar manuscripts from researchers funded by the Wellcome Trust are available in PMC as well.

Eligible researchers should use the [NIH Manuscript Submission](http://www.ncbi.nlm.nih.gov/pmc/submission.html) system to deposit manuscripts.
1. **Roles of Coactivators in Hypoxic Induction of the Erythropoietin Gene**
   Feng Wang, Ruixue Zhang, Xiaomeng Wu, and Oliver Hankinson
   *PLoS One* 2010; 5(4): e10002. Published online 2010 April 7. doi: 10.1371/journal.pone.0010002
   PMCID: PMC2848849
   | Abstract | Full Text | PDF–782K | Supplementary Material |

2. **Aryl Hydrocarbon Nuclear Translocator (Hypoxia Inducible Factor 1β) activity is required more during early than late tumor growth**
   S Shi, D.Y Yoon, K Hodge-Bell, S Huerta-Yepez, and O Hankinson
   *Mol Carcinog.* Author manuscript; available in PMC 2011 February 1.
   PMCID: PMC2938742
   Manuscript: | Free in PMC on 2011/02/01 |
Cite Articles Using PMCID

• **Example with PMCID**


• **Example with NIHMSID**


• **Example with PMCID in Process**

Citing Your Papers – Policy Change
re: Use of NIHMSID¹ Cite Articles Using PMCID

• NIHMSID can only be used to show compliance for up to 3 months after a paper is published.

• After that, a PMCID must be used to demonstrate compliance.

• An NIHMSID will no longer be accepted for use if an applicable paper was published 3 or more months prior to an NIH application

Misc. Issues/Problems

• Joint Authors or Multiple Grants
  – Refer to the NIH Public Access Policy FAQs
    http://publicaccess.nih.gov/FAQ.htm

• No PMCID and the journal article has already been published (NIH Compliance was not followed)

• Did the PI or primary author review the final version of the article (email message from NIHMS)?
Questions/Help?

The UCLA Library is working closely with the UCLA Office of Research, Contract, and Grants, and others.

The UCLA Library can help individual faculty with questions about author agreements and publisher options regarding the implementation of the policy.

Contact Us: nih@library.ucla.edu