

## Compliance with NIH Open Access Policy (adopted from IeDEA)

### Background

The [NIH Public Access Policy](#) ensures that the public has access to the results of NIH funded research. All scientists need to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive [PubMed Central](#) (PMC) upon **acceptance** for publication. The Policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication. The process of complying with the policy consists of four steps:

#### 1. Assess Applicability: Does the NIH Public Access Policy apply to your paper?

The Policy applies to any manuscript that is:

- Peer-reviewed;
- Accepted for publication in a journal on or after April 7, 2008;
- Arises from any direct NIH funding active in Fiscal Year 2008 or beyond.

#### 2. Address Copyright

When signing the copyright transfer agreement of the journal, you must make sure that the agreement allows the paper to be posted to PMC. Final, peer-reviewed manuscripts must be posted to the NIHMS upon acceptance for publication, and be made publicly available on PMC no later than 12 months after the official date of publication. This does not mean that the journal will be submitting the paper in a timely manner.

#### 3. Submit Paper to PMC

There are four methods to submit a paper to PubMed Central (PMC):

**Method A:** Journals deposit final published articles in PubMed Central (PMC) without author involvement. Examples are *PLoS*, *Bull WHO*, *J Women's Health*, *Clin Infect Dis*, *BioMed Central*, *Int Journal of Epidemiol*, *J Int AIDS Soc*. A complete list of Method A journals is available [http://publicaccess.nih.gov/submit\\_process\\_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm). If your journal is not listed in this list, NIH does not consider it a PMC-approved journal.

**Method B:** Some publishers will deposit the final published article in PubMed Central upon author request. This may involve a fee. See the list of publishers: [http://publicaccess.nih.gov/select\\_deposit\\_publishers.htm#b](http://publicaccess.nih.gov/select_deposit_publishers.htm#b).

**Method C:** Deposit the final peer-reviewed manuscript in PubMed Central yourself via the NIH Manuscript Submission System (NIHMS) <http://www.nihms.nih.gov/db/sub.cgi>, using these steps:

Step 1: Upload a copy of the **accepted** final peer-reviewed manuscript and associated files (e.g., Microsoft Word document and figures) via the NIHMS. At the same time, identify the NIH funding associated with the manuscript. Parent MACS grants numbers:

U01-AI35042: Baltimore, Joseph Margolick, PI

U01-AI35039: Chicago, Steven Wolinsky, PI

U01-AI35040: Los Angeles, Roger Detels and Otto Martinez-Maza, PIs

U01-AI35041: Pittsburgh, Charles Rinaldo, PI

UM1-AI35043: CAMACS, Lisa Jacobson, PI

Step 2: Authorize NIH to process the manuscript: the author designates the number of months after publication when the manuscript may be made publicly available in PMC. It is fine to embargo it for 12 months. The author then confirms, via the NIHMS, a statement that the deposit of the manuscript is consistent with any publication and copyright agreements, and that NIH may begin processing the manuscript for use in PMC.

Step 3: Approve the PMC-formatted manuscript for public display: The NIHMS will convert the deposited files into a standard PMC format, and email the author to approve the PMC-formatted manuscript for public display. The author then reviews and approves the PMC-formatted manuscript via the NIHMS. Corrections to the manuscript, if necessary, may be requested at this time.

For more detail, including a video of the Method C process, please go to:  
[http://publicaccess.nih.gov/submit\\_process.htm](http://publicaccess.nih.gov/submit_process.htm)

Method C is the default method that has to be followed if the journal in question has not explicitly subscribed to one of the other methods.

**Method D:** Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited in the NIHMS. This is a variation of Method C where publishers deposit the manuscript files in the NIHMS, provide contact information for a corresponding author, and designate the number of months after publication when the paper may be made publicly available in PMC. If it is not submitted after acceptance, you may want to notify the journal that you will be submitting under method C.

The NIHMS will notify the author when the manuscript files are received from the publisher. At that point, the author must complete all of the tasks outlined for Method C.

Many major publishers follow Method D, including Elsevier (*The Lancet*, *J Clin Epidemiol* and many other journals), Lippincott, Williams and Wilkins (*AIDS*, *JAIDS*) or Taylor & Francis (*AIDS Care*).

**A Note on Timing: Though a publisher may make the initial deposit of files under Method D, NIH awardees are responsible for ensuring that manuscripts are submitted to the NIHMS upon acceptance for publication and that all NIHMS tasks are complete within three months of publication.**

Following completion of submission, the PMC reference number (PMCID, a unique identifier) will be assigned and PMC will automatically make the paper publicly available after the designated delay period has expired.

#### **4. Include PMCID in Citations**

Another requirement of the NIH Public Access Policy is the inclusion of the PMCID when citing papers that are linked to NIH-funded research in an application, proposal or report to the NIH. This applies to the annual progress report we have to submit to the NIH.