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Best Practices for Achieving Compliance with the NIH Public Access Mandate

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WELCOME

Best Practices for Achieving Compliance with the NIH Public Access Mandate

Presented by:
Hanna Kim, Center Grant Administrator, Beckman Laser Institute and Medical Clinic
Kim Frazer, Business Analyst, Electronic Research Administration, Office of Research
Mitchell Brown, Librarian and Scholarly Communications Coordinator, Ayala Science Library
University of California, Irvine

Learning Objectives:

1. NIH Public Access Policy Definition
2. UCI's Approach to Compliance
3. Best Practices for Achieving Compliance
4. Open Access as a Default
5. Resources

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What is the NIH Public Access Mandate?

The NIH Public Access Mandate requires public accessibility for all articles published on or after April 7, 2008, and are basedon research that received NIH funding.

The articles must be available on the NIH PubMed Central site (federal archive library free to the public) no later than 12 months from the publication date.

How is this Mandate Enforced?

NIH will **withhold** continuing funding for **non-compliance**, per its 2013 announcement that states that NIH will…

"delay processing of an award if publications arising from it are not in compliance with the NIH public access policy."

Why is Compliance Important to Us?

Compliance with the NIH Public Access Mandate means that research is **available, free, and OPEN** to everyone and continued and new **funding** is available for University research efforts.

Why Open? Open in order to ….

Be compliant	➔	avoid delay in funding, option to apply for new funding
Be transparent	➔	responsible conduct of research
Increase visibility	➔	increased citations
Increase global impact	➔	everyone can benefit from and contribute to research for the greater good

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Examples of Non-Compliance at UC Irvine (UCI)

1. Authors are not submitting their published manuscripts in the NIH Manuscript System.
2. Authors are not approving manuscripts submitted by publishers/journals on their behalf, and the submission is stalled.
3. Grant administrators are unable to locate the correct version of the manuscript needed for submission.
4. Campus center grants are affected by individual author non-compliance.
5. Grants are being delayed due to non-compliance.

UCI's Approach to Compliance Combines the Departments, Central Campus, and the Library

- **Hanna Kim**, Center Grant Administrator, Beckman Laser Institute and Medical Clinic (BLI)
- **Kim Frazer**, Business Analyst, Electronic Research Administration, Office of Research
- **Mitchell Brown**, Librarian and Scholarly Communications Coordinator, Ayala Science Library

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Compliance Solutions at UCI

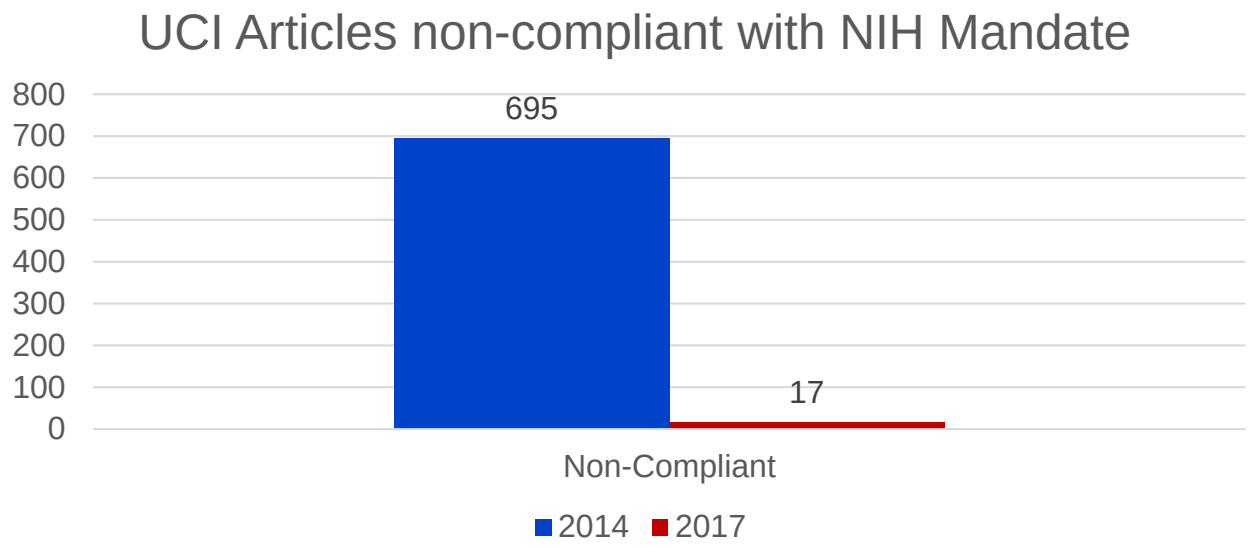
In 2012, NIH withheld UCI BLI's center grant funding due to non-compliance, resulting in Hanna Kim becoming the subject matter expert at UCI

UCI Institute for Clinical & Translational Science (ICTS), another center grant recipient, began the Public Access Compliance Working Group to address the issues

Team includes representatives from Office of Research, ICTS, Cancer Center, School of Medicine, Libraries, and BLI

Compliance Results (2014 vs. 2017)

- October 2014 – 695 papers non-compliant
- October 2017 – 17 papers non-compliant



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Best Practices on the Department Level

1. Become compliant
2. Increase awareness
3. Maintain compliance

What is Required for Compliance?

1. The article is deposited in the NIH Manuscript Submission System **(NIHMS)** within **3 months** from the publication date.
2. Author receives the PubMed Central Identification Number **(PMCID #)** to be **reported** in NIH biosketches and annual reports.
3. Article is made available to the **public for free** on **PubMed Central**, the full-text archive of the National Institute of Health's National Library of Medicine.

The End Goal: PMCID Number

- **PMCID # = PubMed Central Identification Number**
- Different from the PMID number, which references the Pubmed.gov identification number.

Sample citation:
Hou J, Wright HJ, Chan N, Tran R, Razor Enova OV, Pota EO, Tromberg BJ. Correlating two-photon excited fluorescence imaging of breast cancer cellular redox state with seahorse flux analysis of normalized cellular oxygen consumption. J Biomed Opt. 2016 Jun 1;21(6):60503. doe: 10.1117/1.JBO.21.6.060503. PMID: 27300321
PMCID: PMC4906146

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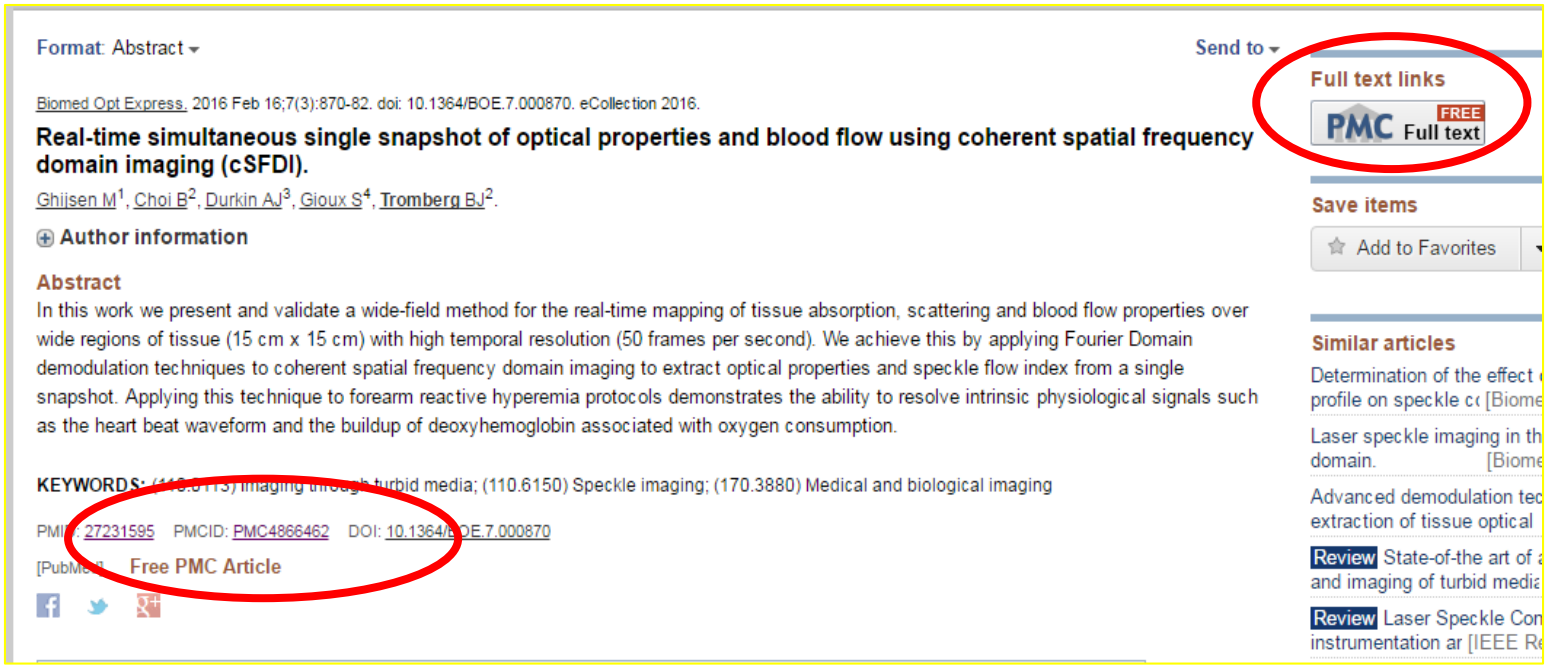
Where do I find the PMCID #?

Excerpt from PubMed.gov:
One way to check when a PMCID # has been assigned.



Format: Abstract

Send to

Biomed Opt Express. 2016 Feb 16;7(3):870-82. doi: 10.1364/BOE.7.000870. eCollection 2016.

Real-time simultaneous single snapshot of optical properties and blood flow using coherent spatial frequency domain imaging (cSFDI).

Ghijsen M[1], Choi B[2], Durkin AJ[3], Gioux S[4], Tromberg BJ[2].

Author information

Abstract

In this work we present and validate a wide-field method for the real-time mapping of tissue absorption, scattering and blood flow properties over wide regions of tissue (15 cm x 15 cm) with high temporal resolution (50 frames per second). We achieve this by applying Fourier Domain demodulation techniques to coherent spatial frequency domain imaging to extract optical properties and speckle flow index from a single snapshot. Applying this technique to forearm reactive hyperemia protocols demonstrates the ability to resolve intrinsic physiological signals such as the heart beat waveform and the buildup of deoxyhemoglobin associated with oxygen consumption.

KEYWORDS: (110.6150) Speckle imaging; (170.3880) Medical and biological imaging

PMID: 27231595 PMCID: PMC4866462 DOI: 10.1364/BOE.7.000870

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instrumentation ar [IEEE R

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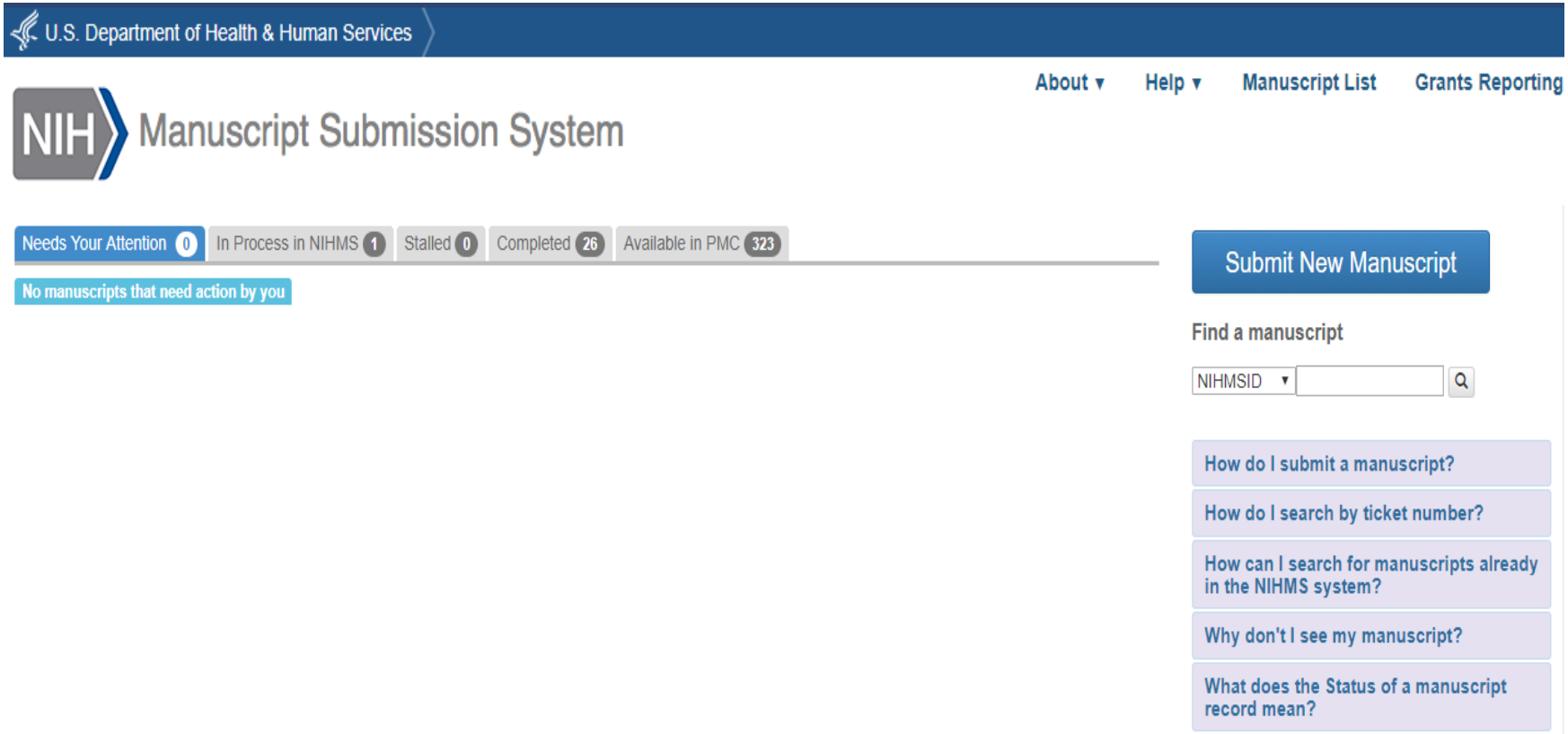
Compliance Process Overview… Responsible for Steps 1, 2, and 4

The process begins with SUBMISSION by Author/PI/Third Party *or* Journal/Publisher

INITIAL APPROVAL: Is this your publication?

SECOND APPROVAL: Does the PMC-ready document look okay?

Step 1: Deposit File



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Step 1: Deposit File
Submission by Journal or Publisher

- When the manuscript is submitted by the journal/publisher, the corresponding author will receive an email from NIHMS with a link to approve the manuscript submission.

  From: nihms-help@ncbi.nlm.nih.gov

  RE: [nights] NIHMS789598: Approve Submission of Manuscript

- Anyone can check the status of the manuscript within the NIHMS system.

Step 1: Deposit File
Submission by Author, PI, or Third Party

- Anyone with an Era Commons or a MyNCBI account can submit manuscripts or monitor manuscripts submitted by others.
- When a manuscript is submitted, it will be assigned an NIHMSID number.
- When the process is complete, it will be assigned a PMCID number.

Get the Facts First!

What the Submitter Needs to Know

1. Which **grants** were acknowledged in the manuscript?
2. Who is the **PI** on the grant (maybe more than one)?
3. Who is the publisher and what is its policy about public access? Review copyright laws regarding which version can be uploaded to PubMed Central. **http://www.sherpa.ac.uk/romeo/search.php**
4. Many journals will submit the article on behalf of the author. Note: Open Access for a fee is not always what it seems.

Step 2: Initial Approval

Done by the Reviewer regardless of the Submitter

Submitter	Reviewer
Journal/Publisher	**Corresponding Author** (by default)
Author, PI, or Third Party (e.g., Department Research Administrator)	Any of the **Authors** or any **PI on one of the linked NIH funding***

***Note:** The Third Party Submitter can assign the Reviewer role but **cannot** be the Reviewer.

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Step 3: NIHMS Conversion
Look for email for Final Approval (Step 4)

Step 4: Final Approval
The Solution for Stalled Submissions

1. If the assigned Reviewer does not approve the submission within **one week**, the manuscript will be "**STALLED**."
2. If this happens, another author or the PI on NIH funding can "**CLAIM**" the manuscript.
3. To avoid delays, anyone with a MyNCBI account can "**WATCH** the manuscript."

Life After the PMCID Number

Now that you are “compliant,” what’s next?

For continuing awards:

- In MyNCBI, you need to **LINK** each publication with the appropriate NIH grant.
- **REPORT** in the NIH Research Performance Progress Report (RPPR). If the publication is properly linked to the NIH grant in MyNCBI, you can select it in the RPPR Publications section.

For new awards:

- **Add PMCID number** to citations in NIH Biosketch and Other Support documents.

Role of the DRA in the Compliance Process

1. **EDUCATE**
   - Benefits of compliance: transparency, visibility, global impact
   - Negative impact of non-compliance: delay in funding, may not be awarded new funding
2. **FACILITATE**
   - Get the process started by submitting the manuscripts for the authors/PIs
   - Provide training resources
   - Remind authors that the publisher often submits for them, but they still need to enter NIHMS and **approve TWICE** (initial and final approval)

Prevention is key…Maintenance saves time

- Manuscripts should be dealt with as soon as they are **accepted** for publication.
- Periodically request the PIs' CVs and request auto-emails from MyNCBI and/or Google Scholar for your PIs' publications.
- Review copyright policies of the journals where your PIs frequently submit articles.
- Elicit the help of your **Librarian**.

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Open in Order to…

A way of thinking about Open Access to solve problems

1. "Open" Access = **Immediate Access + Full Reuse**
2. Set the Default to **"Open" in Research and Education**
3. Not just "Open" for Open's Sake, but **Open in Order to…**

   Opening access to research data in order to…prevent a Zika pandemic.
4. We need to **Reward "Open"** in Meaningful Ways

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Digital Object Identifier (DOI)

- A Digital Object Identifier (DOI) is a unique alphanumeric string assigned by registration agency to identify content and provide a persistent link to its location on the Internet.
- The publisher assigns a DOI when your article is published and made available electronically.
- This is a **unique identifier** for the published article.
- Currently, over 148 million DOI has been assigned by the DOI Foundation (10/2017).

Why should researchers register for ORCiD (Open Researcher and Contributor ID)?

- Provides researchers with a unique digital identifier, to ensure that authorship and professional activities are recognized correctly.
- Registration is easy. There are just three steps…

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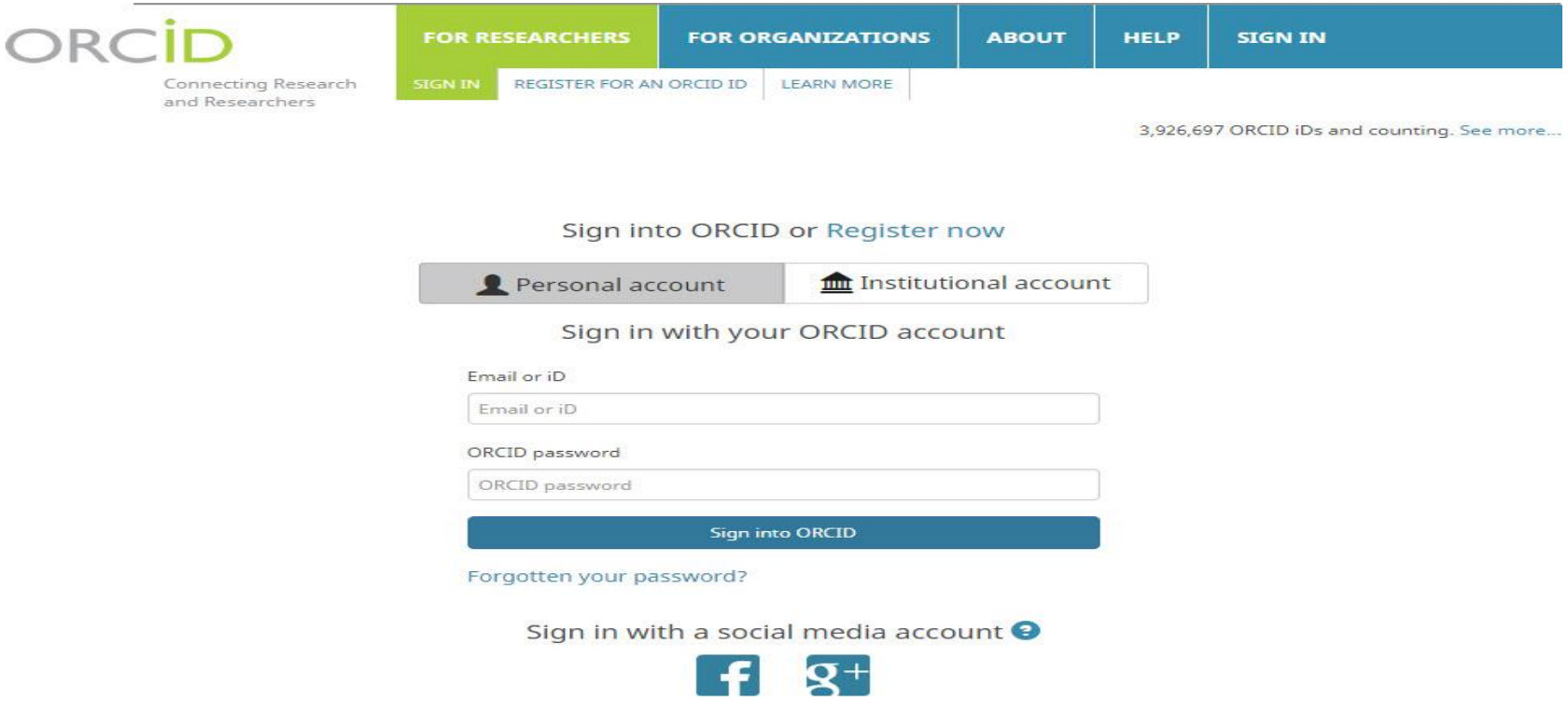
Connecting Research and Researchers

https://orcid.org/signin



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Open in Order to…

Open in order to: Create a system for sharing knowledge that is optimized to serve the needs of humanity.

- Heather Joseph, Executive Director (SPARC), Scholarly Publishing and Academic Resources Coalition
- Opening access to research articles in order to…speed up progress towards curing Parkinson's disease
- Opening access to research data in order to…prevent a Zika pandemic

RESOURCES

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UCI's Office of Research YouTube Page

NIH Public Access Mandate Video

https://www.youtube.com/watch?v=cQmW24ErHa4

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NIHMS Frequently Asked Questions

https://www.nihms.nih.gov/db/sub.cgi?page=faq

Frequently Asked Questions (FAQs)

For questions and answers about the NIH Public Access Policy, please refer to the Public Access Frequently Asked Questions web page.

For All Users

- What is NIHMS?
- What funding agencies does NIHMS support?
- When should a manuscript be submitted to NIHMS?
- What steps are involved in the NIHMS process?
- How do I sign in to NIHMS?
- What is the relationship/difference between a Submitter, Reviewer, Reviewer (Pending), Verified Author, PI, and Watcher in NIHMS?
- What do statuses mean in NIHMS?

For Submitters

- Who can submit manuscripts to NIHMS?
- How do I submit manuscripts to NIHMS?
- What files should I submit?
- Do I have to submit supplemental material?
- What file format should I use?
- What is the release delay or embargo period?
- How do I find out if a manuscript has already been submitted?

Online Training from NIH

https://www.youtube.com/watch?v=IIEBtfnSqMA

Quiz

Question 1

True or False?

NIH Public Access Mandate requires all NIH funded publications to have a PMID number.

Quiz

Question 1

Answer: False.

The Mandate requires a **PMCID (PubMed Central Identification)** number, which indicates that the publication will be available in the Public Archive **free** of charge to the within **12 months** from the date of publication.

Quiz

Question 2

What is the name of the system for depositing the manuscript requiring compliance?

1. MyNCBI?
2. NIHMS?

Quiz

Question 2

Answer: NIHMS

1. The NIHMS (NIH Manuscript Submission) is the system for depositing and tracking journal articles in the submission process.
2. MyNCBI (National Center for Biotechnology Information) is the system for linking the manuscript to the appropriate NIH funding.

Quiz

Question 3

What is ORCiD?
What does it stand for and what is it for?

Quiz

Question 3

Answer:

ORCiD = Open Researcher and Contributor ID

ORCiD provides the researcher with a unique digital identifier, to ensure that authorship and professional activities are recognized correctly.

We are the Best Resource!

Samwise: I can't carry it for you, but I can carry you! Come on.

Remember: The Road to **Open** (and Compliance) begins with **You**

1. Seek **Training**: Become familiar with the NIH Manuscript System and MyNCBI (National Center for Biotechnology Information) and get that **PMCID number.**
2. **Share** the reasons for Open Access: Compliance, Transparency, Visibility, and Global Impact.
3. Find **Campus Partners**: Facilitate change at your institution and beyond.

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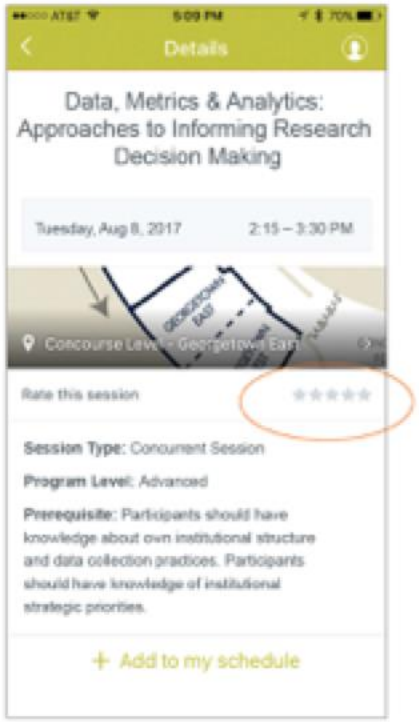
1. In Guidebook, search the schedule and open the session you are attending.



2. Open the details of the session and highlight the number of stars the session earned.

3. Scroll down to enter the session survey and answer four multiple choice questions.

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