Publication Compliance

I have a non-compliant publication.
What should I do?

A training module for the
UNC Lineberger Comprehensive Cancer Center

with

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What is Compliance?

NIH Public Access Policy

The NIH Public Access Policy implements Division F Section 217 of PL 111-8 (Omnibus Appropriations Act, 2009). The law states:

The Director of the National Institutes of Health ("NIH") shall require in the current fiscal year and thereafter 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.

In other words:

Publications that arise from NIH-funded projects are free and openly available to all clinicians, students, patients, educators, investigators, and taxpayers.

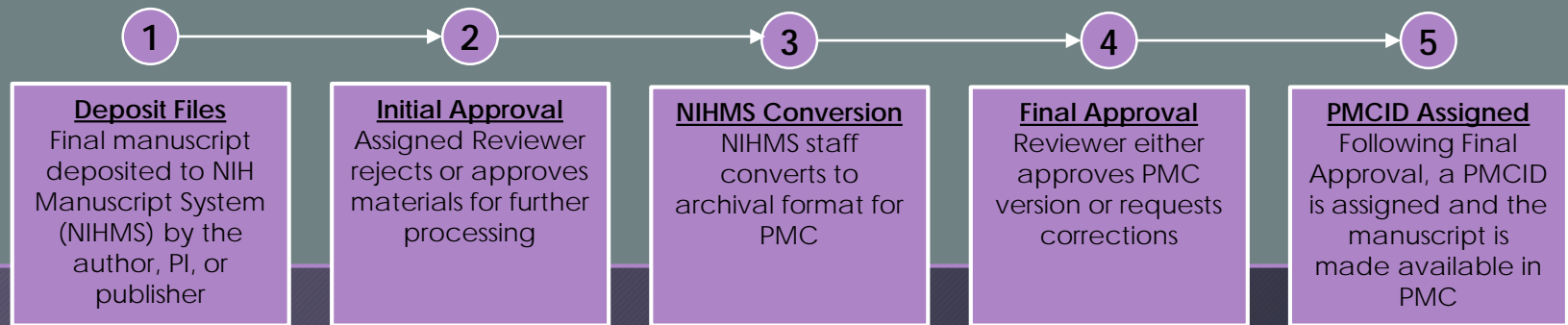Remember: PubMed ≠ PubMed Central

What Compliance is Not

Scary

Magic

Compliance Pipeline: An Overview

1 → **2** → **3** → **4** → **5**

Deposit Files	**Initial Approval**	**NIHMS Conversion**	**Final Approval**	**PMCID Assigned**
Final manuscript deposited to NIH Manuscript System (NIHMS) by the author, PI, or publisher	Assigned Reviewer rejects or approves materials for further processing	NIHMS staff converts to archival format for PMC	Reviewer either approves PMC version or requests corrections	Following Final Approval, a PMCID is assigned and the manuscript is made available in PMC

What is…

- **NLM**? The National Library of Medicine.
- **PubMed**? PubMed comprises more than 30 million *citations* that may include links to full-text content from PMC and publisher web sites.
- **PMC**? PubMed Central, a free full-text archive of biomedical and life sciences journal literature at the NIH/NLM.
- **NIHMS**? The NIH Manuscript System is designed to facilitate the submission of manuscripts for inclusion in PubMed Central.

Step 1: Deposit Files
Does my paper need a PMCID?

Did the NIH support this citation, in whole or in part?

No   **Yes**

Is your paper peer reviewed?

No   **Yes**

Is your paper written in a Latin script (i.e., *not* written in Russian, Japanese, etc.)

No   **Yes**

Your paper is <u>exempt from the NIHPAP</u>. Update the citation in your NCBI My Bibliography to reflect this.

Your paper is <u>subject to the NIHPAP</u> and requires a PMCID. Determine the appropriate submission method.

Step 1: Deposit Files
Determining submission method

Will the journal submit to PMC on your behalf? This is known as submission **Method A.**

No

Yes

Did you make arrangements to have the final published version of your paper posted directly to PMC (i.e., pay an open access fee)?

Keep an eye on the status in My Bibliography. When the status is "PMC journal – In Progress", all is good.

No

Yes

This is submission **Method B**. Keep an eye on your email for an email stating that your submission is ready for review in NIHMS.

Will the publisher deposit the final manuscript to NIHMS?

No

Yes

This is submission **Method D**. Keep an eye on your email for an email stating that your submission is ready for review in NIHMS.

This is submission **Method C**. You, (the author, PI, or trusted third party) submit the final manuscript to NIHMS.

Step 1: Deposit Files
Common Questions

Q: How can I check to see if a paper has been deposited into NIHMS?

A: You can look in two places. 1. NCBI/My Bibliography. By adding a paper to your My Bib (or an investigator for whom you are a delegate), you can view the Public Access Compliance status. 2. NIHMS (requires eRA Commons login). You can enter a PMID to search NIHMS to see if the paper has been deposited.

Q: Who can deposit files?

A: Anyone can submit; however, an author or the PI must serve as the Reviewer.

Q: I've been asked to submit a manuscript for one of my faculty members. How soon should I submit?

A: As soon as possible! The NIHPAP calls for the peer-reviewed, accepted manuscript to be deposited in NIHMS at the time of acceptance for publication.

Q: My paper is under embargo. Should I still submit right away?

A: Yes! PubMed Central will list the paper as "available on" the date provided.

Q: How long does it take for the PMCID to be assigned once I submit my manuscript?

A: The submission process is currently estimated at 6-8 weeks once the submission is approved for processing.

Step 2: Initial Approval

Who?	The Reviewer must be an author on the paper or a PI on an associated grant.
What?	The Reviewer is expected to confirm or add associated funding and ensuring the files from the initial deposit are accurate and complete. The Reviewer must also sign off on the Submission Statement.
How?	The NIHMS system is accessible by navigating to this URL: nihms.nih.gov. Users must login using eRA Commons credentials.

Oh no!

Is the assigned reviewer is unreachable or unresponsive? Another author or the PI can view the record listed in the Available to Claim filter on the My Manuscripts page. Or, contact the NIHMS Help Desk: nihms-help@ncbi.nlm.nih.gov

Step 3: NIHMS Conversion

NIHMS staff reviews the approved files for completeness, and complete submissions are converted to archival XML. The PMC-ready documents (Web and PDF versions) are checked to ensure they accurately reflect the submitted files. This process can take **2-3 weeks**.

An e-mail notification is sent to the Reviewer when the record is available for final review.

This could take a while.

Step 4: Final Approval

| Who? | Preferably, the same Reviewer from Step 2. The Reviewer must be an author on the paper or a PI on an associated grant. |

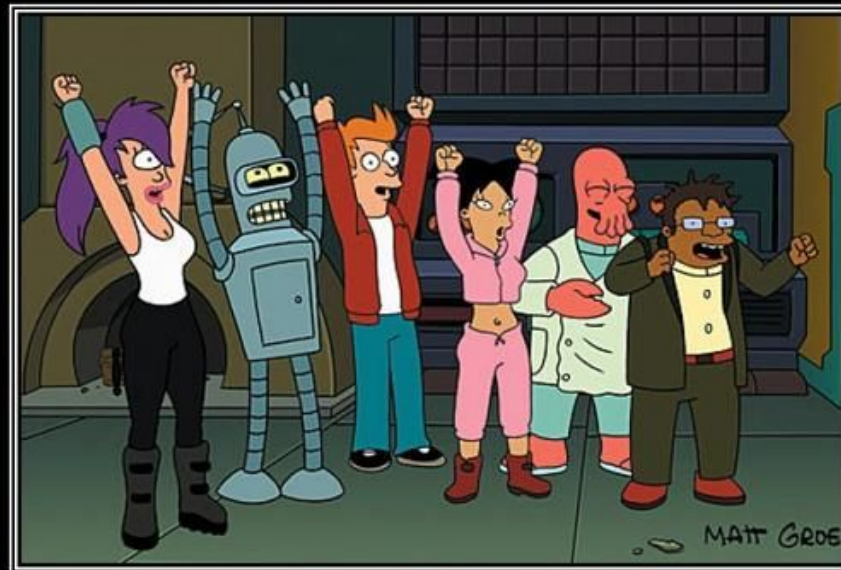| What? | The Reviewer is expected to review the final documents for accuracy and formatting. |

| How? | The NIHMS system is accessible by navigating to this URL: nihms.nih.gov. Users must login using eRA Commons credentials. |

Oh no!

Sometimes, the reminder emails from NIHMS get lost in busy inboxes. Pro tip: Set a reminder to check on the manuscript in NIHMS and give the Reviewer a gentle nudge.
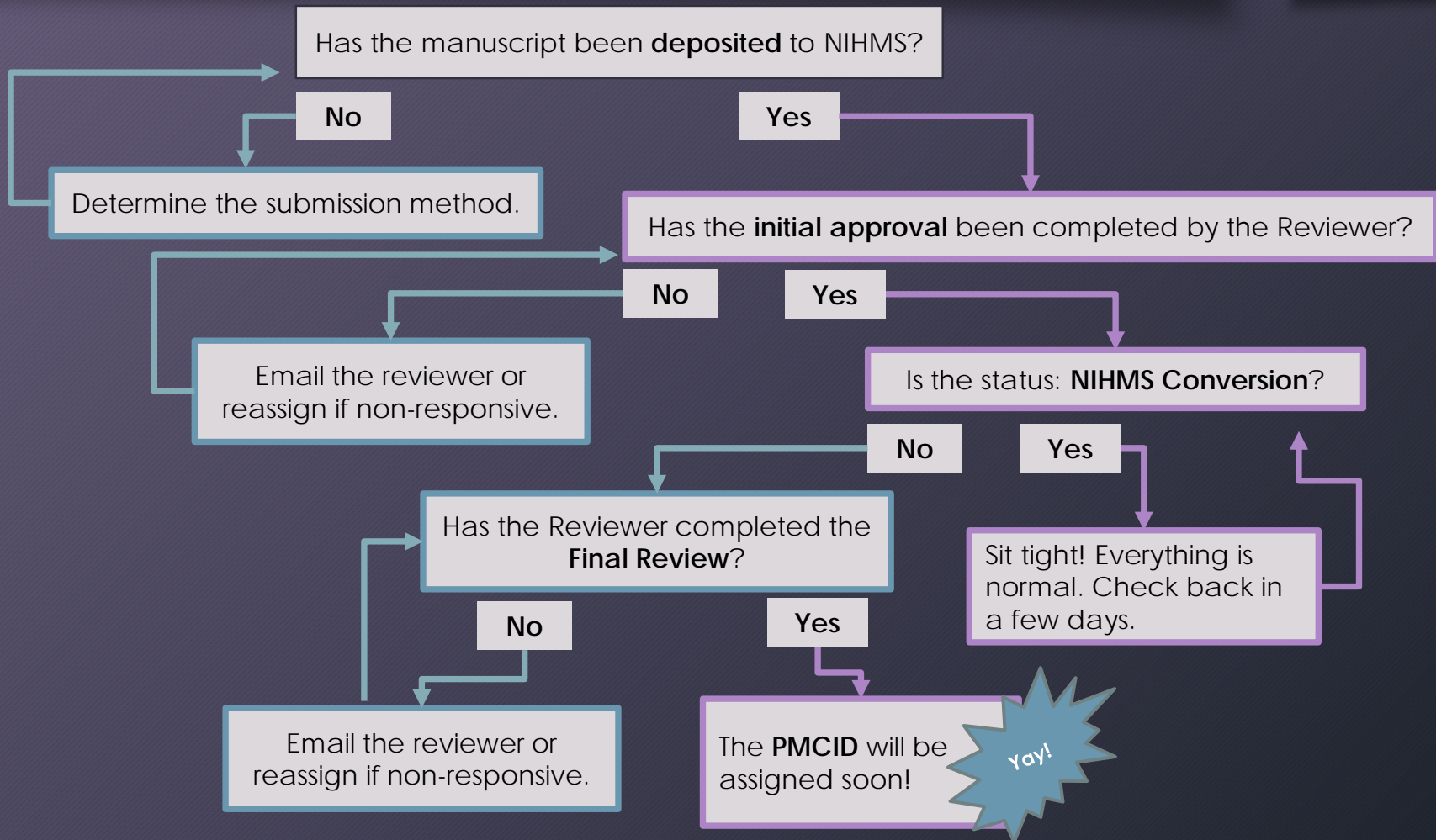
Step 5: PMCID Assigned

Recap and Troubleshooting

Has the manuscript been **deposited** to NIHMS?

No

Yes

Determine the submission method.

Has the **initial approval** been completed by the Reviewer?

No

Yes

Email the reviewer or reassign if non-responsive.

Is the status: **NIHMS Conversion**?

No

Yes

Has the Reviewer completed the **Final Review**?

Sit tight! Everything is normal. Check back in a few days.

No

Yes

Email the reviewer or reassign if non-responsive.

The **PMCID** will be assigned soon!

Yay!

Resources

Submission Methods
- Method A Journals: publicaccess.nih.gov/submit_process_journals.htm
- Method B Publishers: publicaccess.nih.gov/select_deposit_publishers.htm
- Method D Publishers: publicaccess.nih.gov/Method%20D%20Publishers
- Journal details (used to identify a journal's publisher): ulrichsweb.serialssolutions.com

Frequently Used Sites
- NIH Manuscript System (NIHMS): nihms.nih.gov
- My NCBI / My Bibliography: ncbi.nlm.nih.gov/myncbi (Use login credentials for ERA Commons for NIHMS and My NCBI)
- NIHMS step-by-step tutorials: nihms.nih.gov/help/tutorials

UNC Health Sciences Library
Librarians are available to help! Use asklib.hsl.unc.edu to submit a question via email or start a live chat.

How can I help?

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