NIH Public Access Policy Compliance

**Submission Process**

NIH Public Access Policy

Does the Policy apply to the publication?

Address copyright

Determine submission method

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**Track Status**

Link My Bibliography to eRA

Grantee/Delegate

Compliance Status

- Compliant
- In Process
- Not Compliant
- Status Not Determined
- N/A Not Applicable

Resolve in NIHMS/MyBibliography

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A

B

C

D

Submit manuscript files to NIHMS & assign grant

By request

Two-stage approval

Submission is assigned PMCID

Next
NIH Public Access Policy Compliance Process Map

**Introduction:** This tool will walk you through compliance with NIH Public Access Policy.

Follow the yellow track for compliance instructions.
Follow the gray track to determine the status of your compliance.

Click any topic to navigate through the compliance process.
You may also use the Previous & Next buttons at the bottom for linear navigation or the Main Menu button to go back to the process map.
At time of publication, all investigators funded by the NIH must submit their final, peer-review manuscripts to the National Library of Medicine’s federal open repository, PubMed Central (PMC) https://www.ncbi.nlm.nih.gov/pmc

The policy promotes free online access to journal articles arising from taxpayer-funded research. Full-text manuscripts must be made available on PMC no later than 12 months after publication.

The NIH will delay processing of grant awards and Progress Reports (RPPR) if publications arising from a grant are not in compliance with the policy.

For complete policy documentation, see the NIH policy homepage: https://publicaccess.nih.gov/policy.htm
Does the policy apply to the publication?

The policy applies to all peer-reviewed journal articles reporting on research funded by NIH grant(s).

The policy does not apply to

1. Articles reporting on research funded by agencies other than the NIH.

2. Review articles, books, book chapters, meeting abstracts, or dissertations.

Publications falling into categories 1 and 2 require no additional action by the investigator.

Note: If the policy does not apply to your article, there is no need to comply with the policy.
Address copyright

Review the publishing journal’s Instructions to Authors and the author agreement letter for details regarding NIH Public Access Policy compliance. For example:

Does the publisher submit your manuscript to PMC automatically, for a fee, or not at all? Does the publisher require a 12 month embargo period before posting the manuscript?

If the publisher’s copyright agreement does not address options for policy compliance, propose an amended agreement with relevant language, for example:

“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.”

Note: The document required for posting to PMC is the author’s final peer-reviewed manuscript (e.g., Microsoft Word document), not the publisher’s formatted page proofs (e.g., PDF pre-print). Publisher page proofs will not be accepted.
Determine submission method

There are 4 methods of submitting final manuscripts to PMC (Methods A,B,C,D). The method you use to submit your manuscript to PMC is based on the publishing journal’s policy (or lack thereof). Click on each method type to determine which submission process applies to your article.

Method A
(Automatic)

Method B
(By Request)

Method C
(Manual)

Method D
(Assisted)

For more information, see the NIH Public Access Policy (NIHPAP) 101 interactive submission process map:

https://umich.app.box.com/s/b6mrehf2frntblsg4toxy1aqh8h2oasl
Method A

Journal deposits final **published article** in PubMed Central without grantee, author, or delegate involvement.

The article is made publically available no later than 12 months after publication.

A list of these journals can be found at:

[https://publicaccess.nih.gov/submit_process_journals.htm](https://publicaccess.nih.gov/submit_process_journals.htm)
Method B
(Often for a fee)

Grantee, author or delegate **may ask** publisher to deposit final published article in PMC.

The publisher will request an “open access” **fee** to do the deposit.

Arrangements must be made to ensure that the article is made publically available no later than 12 months after publication.

A list of these publishers can be found at:

[https://publicaccess.nih.gov/select_deposit_publishers.htm](https://publicaccess.nih.gov/select_deposit_publishers.htm)
Method C
If methods A, B, & D do not apply to the publication, this is the method that must be followed for compliance.

Grantee, author, or delegate deposits final, peer-reviewed manuscript into PubMed Central via the National Institutes of Health Manuscript Submission System (NIHMS).

Continue Method C
Method D

Publishers have volunteered to deposit a final, **peer-reviewed manuscript** into NIHMS when they determine that it falls under the NIH Public Access Policy.

Assigned reviewer (grantee) is responsible for ensuring that the manuscript is deposited into the NIHMS upon acceptance for publication.

The assigned reviewer must **complete all remaining steps** in the NIHMS in order for the submission to be accepted: approve both the PDF and web versions of the deposit.

A list of these publishers can be found at:

For a deep-dive into the depositing process, see [this interactive NIHPAP 101 deposit process map](https://www.nihms.nih.gov/db/sub.cgi).

**Steps in depositing into NIHMS**

1. Title & journal information
2. Add funding
3. Upload files
4. Check files
5. Set reviewer & embargo
6. Two-stage approval
   - 6a. Approve PDF version
   - 6b. Approve web version
7. PMCID assigned
Two-Stage Approval

All submissions must go through a two-stage approval process.

First, a PDF version of the manuscript (generated by the NIHMS system) must be approved by the “assigned reviewer” (an author, principle investigator, or a delegate).

Once approved, the PDF manuscript is uploaded to PMC, at which point the final online version of the manuscript must also be approved by the assigned reviewer.
1. Log into My NCBI

2. Click on your login name at top right of the window to get to your account settings.

3. Click on the “Change” button for “Linked Account”.

You must link My Bibliography (in My NCBI) to eRA Commons (NIH grant administrative tool) in order to track compliance and generate progress reports. Grantees can assign a delegate to manage this process.

4. You can scroll to the list “Login Account Options” and click on “NIH & eRA Commons” or search for NIH which should show “NIH & eRA Commons”, click on it.

5. You can only link to one account. If you have linked to another account click on “Change” and follow steps in #4.

6. Check your My Bibliography and if there is the eRA logo at the top the linking was successful.
Grantee/Delegate

The grantee can manage the MyBibliography or assign a delegate. A delegate can include an author or a grant administrator. For information on assigning delegates, see the NIH's MyNCBI Delegates FAQ page:

The contents of MyBibliography will indicate the status of each publication.
Articles that are compliant have a green dot with a check and may also have the NIH funding ID(s) associated with it.

NIH Public Access Compliance: Complete. PMCID: PMC3755124
NIH Funding:
R01 CA126642 - Probing Tumor Microenvironment Using Nanotechnology
Add or delete award
Articles that have been recently submitted to the NIH Manuscript Submission System are considered in process and have a yellow dot, have a NIHMS ID, and may have a NIH funding ID(s) associated with it.

NIH Public Access Compliance: In process at NIHMS. [Edit Status] NIHMS ID: NIHMS9543

NIH Funding:

R01 CA085140-06 - Integrative Biology of Tumor Metastasis

Add or delete award
Articles that have a red dot indicates non-compliance. The process of compliance can be initiated by clicking on the dot or “[Edit Status]” and NIH funding can be added by clicking “Add award”.

NIH Public Access Compliance: Non-compliant. No PMCID 3 months post publication. [Edit Status]
Funding: No funding has been associated with this citation. Add award
Articles that have question mark indicates that the status of compliance cannot be determined without additional information that can be entered by clicking on “Edit Status”.

NIH Public Access Compliance: Edit Status

Funding: No funding has been associated with this citation. Add award
The N/A mark (not applicable) applies to citations that were published before April 7, 2008 when the NIH Public Access Policy went into affect and, therefore, the Policy does not apply.
If your article is marked as “Non Compliant” or “Status Not Determined” in My Bibliography, you will need to use NIHMS to bring the article into compliance.

Log into NIHMS and enter the manuscript's NIHMS number to review its status and required next steps.

Most often, a status of “Non Compliant” or “Status Not Determined” can be remedied by initiating, or re-initiating, the approval process with the principle investigator (for example, a newly-converted PDF or online manuscript is awaiting the P.I.’s approval before being marked “Compliant”).
Submission is assigned PMCID

Once the manuscript is deposited to PubMed Central and both the PDF and web conversions have been approved, the manuscript will be assigned a PubMed Central identification number (PMCID) and will then be in compliance with the policy.

Note: PubMed identification numbers (PMID) are not the same as PMCID numbers and do not signify compliance with the policy.

All manuscripts and publications that have a PMCID number can be cited in grant reporting to the NIH and when applying for new and renewing grants.