

NIH Public Access Policy Mandate

Background and Action Steps
by the
University Libraries and
Office of Grants and Contracts



OUTLINE

- NIH Mandate: Significance and Implementation
- Author Rights: Resources, Education and Outreach for Faculty and Students
- ScholarWorks@UMass Amherst digital repository
- Resources

NIH Public Access Policy: Significance

- First Open Access (OA) mandate for major US funding agency
- First OA mandate for any government agency in the world adopted by legislature rather than by agency itself
- Sets precedent for other government funding agencies
- NIH is largest non-military funder of scientific research in world

NIH Public Access Policy: When, What, Who

- Took effect April 7, 2008
- Original peer-reviewed articles including graphics and supplemental materials
- Funded by NIH grants, awards or contracts
- Deposited in PubMed Central (PMC) at time of acceptance for publication
- To be posted within one year of publication

NIH Public Access Policy Compliance on Campus

- Responsibility rests with grantees (institutions) and to Principal Investigators (PI's) for each grant
- Know your grant recipients
- Library and Office of Research are logical pairing
- Include Administration Folks

- Education program – this is the first of potentially many federal grant funding mandates
- Provide easy-access information sources
- Create tools for authors to use
 - Sample notification letter
 - Sample wording for copyright transfer agreement

NIH Public Access Policy Compliance Requirements

Grantees (institutions) and **Principal Investigators** responsible for compliance

Three actions required:

1. Make sure publishing agreement allows compliance with NIH policy
2. Submit post print version of manuscript to PubMed Central at the time of acceptance for publication
3. Include PMC ID number in NIH applications and reports when citing articles covered by policy

NIH Public Access Policy Publishing Agreement

1. Make sure **publishing agreement** allows compliance with NIH policy
 - Inform publisher of NIH requirements when submitting manuscript
 - Ensure transfer of copyright to publisher allows compliance with policy
 - If publisher will not allow compliance, find another publisher

NIH Public Access Policy PubMedCentral (PMC)

2. Submit post-print version of manuscript to PMC at time of acceptance for publication
 - Author can deposit manuscript in NIH Manuscript Submission System (NIHMSS); author verifies content
 - Publisher can deposit manuscript in NIHMSS; author verifies content
 - Publisher with established relationship with PubMed Central can deposit manuscript in NIHMSS; no author verification needed

NIH Public Access Policy

PMC ID number

- 3. Effective May 25, 2008**, anyone submitting application, proposal, or progress report to NIH must include PMC ID Number or NIH Manuscript Submission reference number when citing applicable articles that arise from their NIH funded research

NIH Public Access Policy

Opportunities for information and help

Libraries can offer:

- Websites with information, links, people to contact
- Classes on copyright issues, author's rights and the mandate
- Forums on these topics
- Outreach to departments and labs

Office of Research can help:

- Modify formal guidelines for NIH grant recipients
- Offer quality assurance checks in the grant management process

Administration can:

- Set broad guidelines for how the institution will support authors and ensure compliance
- Provide support and resources for educational efforts

Action Steps for Faculty

- Manage copyright / retain author rights
- Select journals and publishers with access friendly policies
- Self-archive in UMass Amherst's digital repository <http://scholarworks.umass.edu>

Manage Copyright

- Retain Author Rights

<http://www.arl.org/sparc/author/>

- Reproduction
- Distribution
- Public performance
- Modification of original work

- Modify publisher contracts

- SPARC Authors Addendum

<http://www.arl.org/sparc/author/addendum.html> or

http://scholarworks.umass.edu/for_authors.html or

- Scholar's Copyright Addendum Engine(SCAE) from ScienceCommons <http://scholars.sciencecommons.org/>

Journals With Access-friendly Policies

- How to determine
 - SHERPA / RoMEO website
<http://www.sherpa.ac.uk/romeo.php>
 - Publisher websites
- Journals that submit articles to PMC
http://publicaccess.nih.gov/submit_process_journals.htm
- Publishers who will submit to PMC upon request
UMass Library staff can help you determine these journals
- Submit manuscript yourself when accepted for publication <http://www.nihms.nih.gov/>

SHERPA / RoMEO example

Springer

Pre-print: "tick" author can archive pre-print (ie pre-refereeing)

Post-print: "tick" author can archive post-print (ie final draft post-refereeing)

Conditions:

- * Author's own final version only can be archived
- * On author's website or institutional repository or funders designated website/repository
- * Published source must be acknowledged
- * Must link to publisher version
- * Set phrase to accompany link to published version (The original publication is available at www.springerlink.com)
- * Articles in some journals can be made Open Access on payment of additional charge

Resources:

NIH Public Access Policy

- NIH Public Access Policy from NIH
<http://publicaccess.nih.gov/>
- NIH Public Access Policy from ARL
<http://www.arl.org/sc/implement/nih/guide/>
- NIH Extramural Nexus
<http://grants.nih.gov/grants/partners/0108Nexus.htm>
- NIH Public Access Policy Implementation – Current Details from SPARC <http://www.arl.org/sparc/advocacy/nih/>
- Alliance for Taxpayer Access – NIH Public Access Policy
<http://www.taxpayeraccess.org/nih.html>

Resources: NIH Public Access Policy, more...

- Complying With the NIH Public Access Policy – Copyright Considerations and Options <http://www.arl.org/sparc/advocacy/nih/copyright.html>
- NIH Public Access Site (Includes extensive FAQ) <http://publicaccess.nih.gov/>
- Skill Kit NIH Manuscript Submission System – Get the Help You Need (NLM Tech Bulletin) http://www.nlm.nih.gov/pubs/techbull/jf08/jf08_skill_kit_manuscript.html
- Complying with the National Institutes of Health Public Access Policy: Copyright Considerations and Options” White Paper by Michael Carroll from ARL, SPARC and Science Commons <http://www.arl.org/sparc/advocacy/nih/copyright.html>
- The NIH Mandate: An Open Access Landmark. CR&L News, February 2008 by Ray English and Heather Joseph <http://www.ala.org/ala/acrl/acrlpubs/crlnews/backissues2008/february08/nihupdate.cfm>

Questions?

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- University Libraries
 - Liaison librarians for academic departments
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