

# Navigating the NIH Public Access Policy for Peer-Reviewed Manuscripts - Why and How to get a PMCID Number

Robin Liston, MPH, Richard J. Barohn, M.D.

University of Kansas Medical Center, Frontiers: University of Kansas Clinical and Translational Science Institute

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## BACKGROUND

In 2008, the National Institutes of Health (NIH) enacted the Public Access Policy requiring all NIH-funded investigators to submit accepted, peer-reviewed manuscripts to the National Library of Medicine's digital repository PubMed Central. The purpose of the policy is to "ensure the public has access to the published results of NIH-funded research." (Accessed Jan. 14, 2020 at <https://www.nih.gov/health-information/nih-clinical-research-trials-you/what-is-nih-public-access-policy>). Historically, the burden of cost to access manuscripts was on readers; however, the policy shifted the responsibility to researchers. Publishing a manuscript costs on average between \$1,500 - \$3,000, but these costs can be included in grant proposal budgets.

The NIH's National Library of Medicine (NLM), established in 1836, originated with a few books in the office of the Surgeon General of the Army. Over the next century the NLM amassed millions of publications related to medicine, public health and the allied sciences for use by physicians and health professionals throughout the United States. The computer and technology era enhanced the reach of literature and produced numerous NIH online resources including the National Center for Biotechnology Information, MEDLINE, ClinicalTrials.gov, PubMed and PubMed Central (PMC). The NLM continues to maintain an immense amount of medical publications and biomedical clinical research manuscripts, primarily in online databases.

## Why it is Important to Comply with the NIH Public Access Policy

Medical and public health researchers have a shared goal of developing innovative strategies to improve population health and of utmost importance is translating the effective discoveries to individuals. One approach to accelerate research findings to improve population health is to ensure the scientific and lay community has access to published research outcomes in a timely manner.

While translating effective strategies to improve population health is important to investigators, it is also imperative researchers comply with the NIH Public Access Policy to avoid interruption to scientific discovery. Any NIH Institute or Center can withhold future funding from the primary author of a manuscript and the principal investigator of acknowledged funding support, including non-competitive renewals and new grant proposals in non-compliance with the policy.

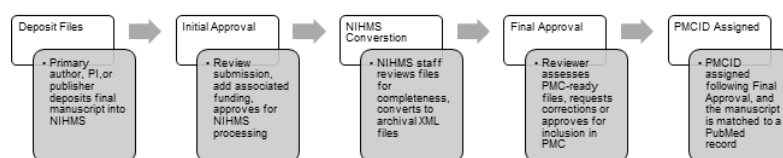
## What Non-Compliance to the NIH Public Access Policy Means

Manuscripts are required to be publicly available no later than 12 months following original publication date depending on the embargo period of the publisher; however, manuscripts are non-compliant if the PubMed Central Identification (PMCID) number has not been acquired 90 days after the original publication date. Steps to acquire a PMCID are provided below. Embargo periods for each journal in PMC can be found in the "Free Access" column on the PMC Journal List. The exact release date for each article under embargo is displayed

in PMC search results, on the table of contents for the issue, or in the corresponding PubMed record. To obtain access to an article prior to its availability in PMC, individuals must contact the respective journal publisher directly.

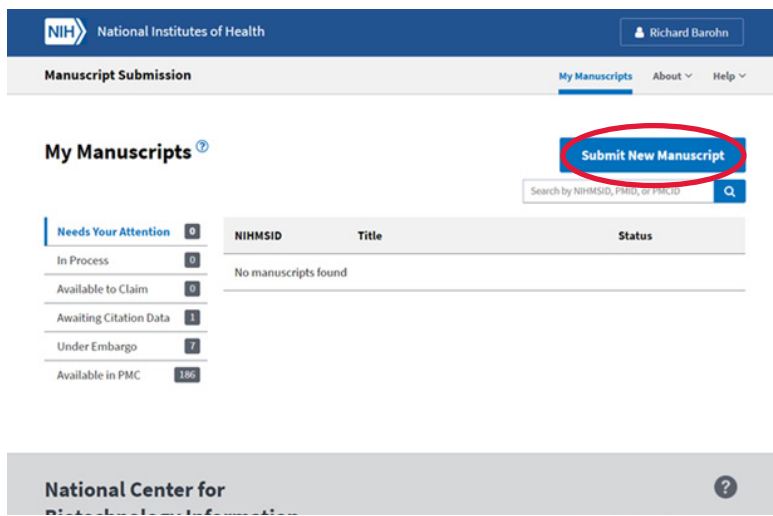
## NATIONAL INSTITUTE OF HEALTH MANUSCRIPT SUBMISSION (NIHMS) PROCESS OVERVIEW

### Step-by-Step Guide to Move Manuscripts through the NIH's Databases to Acquire a PubMed Central Identification (PMCID) Number



### Step 1: Deposit Files into the NIHMS

1. Select Submit New Manuscript - Primary Author or Principal Investigator (PI; or a delegate assigned in eRA Commons) of funding mechanism that supported the research can process manuscripts through the NIHMS database. The individual that initiates the process will need to complete all remaining steps. Delegates cannot serve as a Reviewer for the Initial or Final Approvals.
  - a. This process should be initiated immediately following official publication. Some journals may deposit the paper into the NIHMS for authors, but have a 12-month timeframe for submission, which is not within the 90 day compliance window.



2. Select submission method. Recommend using PubMed, as most journals submit abstracts to PubMed upon publication. Enter in the PubMed Identification (PMID) number or manuscript title in the PubMed search field.
  - a. PubMed is an online, free database comprised of over 30 million published biomedical abstracts and citations. PubMed's aim is to support retrieval of abstracts and citations to improve population health. PubMed was created by and is sustained by the National Center for Biotechnology Information (NCBI) of the NLM.

b. Many journals provide abstracts and citations to NCBI, which then populates PubMed. While some links to full text articles are provided, PubMed is not a full-text repository. PMC was developed to be a full-text repository for biomedical and life science literature to ensure the public has free access to research outcomes. The NIH Manuscript Submission System (NIHMS) was developed to “facilitate the submission of peer-reviewed manuscripts for inclusion in PMC in support of the NIH Public Access Policy” (Accessed Jan. 6, 2020 at <https://www.nihms.nih.gov/db/sub.cgi?page=overview>).

- Manuscript data will populate into the NIHMS. Select Next.

3. Select “My Funding” to open a list of grant awards. Choose the “Award ID(s)” associated with the manuscript. Select Next.

Award ID	Title	PI
KL2 TR000119	Heartland Institute for Clinical and Translational Research	Richard Barohn
UL1 TR000001	Heartland Institute for Clinical and Translational Research	Richard Barohn

a. Selecting funding links this manuscript to the PI(s) of the funding mechanism. The citation will be added to the PIs “MyNCBI”, the NCBI investigator-specific dashboard for researchers to manage and track their publications. NCBI maintains a series of databases containing biomedical and genomic data for use by scientists, contributing to the mission of the NIH to “uncover new knowledge”.

4. Upload all files associated with the manuscript. The manuscript must be the final, published PDF. Naming convention: PLast-Name\_et\_al\_year\_published\_Journal name. Confirm that all figures, tables, videos and/or supplemental materials are included in the PDF. Some online publishers link to these items instead of including them with the manuscript. If not included, upload materials. Select Next.

## 5. Assign Reviewer and Release Delay (Embargo)

- a. When an article is under an embargo it means that there is a delay, as specified by the publisher, between when the article is published and when its full version can be made freely available in PMC. The default embargo for each journal in PMC can be found under the “Free Access” column on the PMC Journal List. The exact release date for each article under embargo is displayed in PMC search results, on the table of contents for the issue, or in the corresponding PubMed record.

### Step 2: Initial Approval

1. Review Submission Statement. Select Agree.

**Manuscript Submission** My Manuscripts About Help

**Submission Statement**

Manuscript Title: A Retrospective Cohort Study of the Management and Outcomes of Children Hospitalized with Stevens-Johnson Syndrome or Toxic Epidermal Necrolysis.

Journal Title: The Journal of allergy and clinical immunology, In practice

Funding: KL2 TR000119, UL1 TR000001

Files: 1 manuscript

I am an author of this manuscript, and I am providing it to the National Institutes of Health (NIH) to make publicly available in PubMed Central **12 months** after its official date of publication in the journal.

I confirm that:

- Publication and Copyright Agreements — In any agreements that I have made with the journal, I have retained the right to deposit this version of the manuscript with PMC, so that it may be appropriately tagged and made available to the public on the PMC web site; or, I otherwise am legally authorized to deposit this manuscript for the purposes described.
- Confidentiality — The manuscript may contain confidential information that must not be publicly disclosed prior to publication of the paper in the named journal.
- Peer Review — The version I am depositing has been peer reviewed and accepted for publication and includes all modifications resulting from the peer review process.
- Funding — The manuscript is the result of research supported, in whole or in part, by direct costs funded by the National Institutes of Health.

Buttons: Cancel Submission, Return to Submission, Agree

### Step 3: NIHMS Conversion

The NIHMS conversion typically takes two-three weeks. NIHMS converts the deposited manuscript files into archival XML format. In this way, NIHMS makes papers publicly available in a format that ensures the permanent preservation of these research findings and makes the results of this research more readily accessible to the public, healthcare providers, educators, and the scientific community (Accessed Jan. 31, 2020 at <https://www.nihms.nih.gov/about/publicaccess/>).

### Step 4: Final Approval

The individual that initiated the process in Step 1 will receive an email from nihms-help@ncbi.nlm.nih.gov with the subject line reading [nihms] Manuscript #1031896: Please review the PMC-ready Documents. \*See Appendix A. Log into NIHMS to Review and Approve the submission for it to be rerouted to undergo conversion to PMC documents.

### Step 5: PMCID Assigned

Once approved by the NIHMS the manuscript undergoes conversion to PMC documents. After file conversion the individual that initiated the process will receive an email from nihms-help@ncbi.nlm.nih.gov with the subject line: [nihms] Manuscript #1503085: Your manuscript is available in PMC. \*See Appendix B. PI or primary author must again APPROVE the PMC-ready or final manuscript.

Note: PMCID is assigned when the following two criteria are met:

1. Converted materials (i.e., the PMC-ready documents) have been approved by the Reviewer.
2. The manuscript has been matched to a PubMed record for one of the following: a final print publication date or an electronic publication date for a journal that is an electronic publication only or an electronic publication date for a journal where PubMed has not received the final print publication date within six months of the electronic publication date

### Steps for Processing Non-compliant Manuscripts Associated with Funding

The following three steps are provided to assist investigators with processing a non-compliant publication linked to their funding. Following completion of the three steps below, proceed to Step 1 above.

#### Step 1.i: Select Manage my Bibliography

My NCBI Resources How To

My Bibliography

Search NCBI databases

Search PubMed

My Bibliography

Your bibliography contains 384 items. Share your bibliography with this URL: <https://www.ncbi.nlm.nih.gov/myncbi/richard.barohn.1/bibliography/public/>

Manage My Bibliography

Recent Activity

Time Database Type Item

10:51 AM PubMed record An instrumented lined up and on in...

10:51 AM PubMed record Knowledge, attitudes, and beliefs a...

10:49 AM PubMed search instrumented lined AND lined T...

Saved Searches

Search Name What's New Last Searched

PubMed Searches

Frontiers Grant Numbers 62 last year

Manage Saved Searches

Collections

All bibliographies and other citations are now in My Bibliography

Collection Name	Items	Settings/Share	Type
Favorites	edit 64	Private	Standard
2012 and before	edit 31	Private	PubMed

Manage Collections

Filters

Filters for PubMed

#### Step 2.i: Select Edit Status

My Bibliography Richard Barohn's Bibliography 15 10 5 354

MyNCBI linked account

Share your bibliography with this URL: <https://www.ncbi.nlm.nih.gov/myncbi/richard.barohn.1/bibliography/public/>

Make bibliography private

Search citations Search

5 citations have been added and added to your bibliography.

From PubMed

From a file

Manually

384 citations, Sort by public access compliance

Mollen CJ, Miller MK, Hayes KL, Barg FK. Knowledge, attitudes, and beliefs about emergency contraception: a survey of female adolescents seeking care in the emergency department. *Pediatr Emerg Care.* 2013 Apr;29(4):469-74. doi: 10.1097/PEC.0b013e31828a3249. PubMed PMID: 23528510.

Public Access Compliance

Non-compliant. Citation not in NIHMS or PMC. (Link Status)

### Step 3.i: Select Begin submission in the NIHMS. Save.

Access Policy requires scientists to submit final, peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. (See [Determine Applicability](#) for full details.) Please submit the final manuscript sent to your publisher or indicate that this publication is exempt from the policy.

We do not have a record of this citation in NIH Manuscript Submission system (NIHMS). Please choose from the following:

- Begin submission in the NIHMS.
- This citation has been submitted. NIHMS ID:
- Arrangements have been made for a [publisher on this list](#) to send the final published article directly to PubMed Central. ([Method B](#))

### Step 4.i: Follow Steps 1-5

Step 1: Deposit Files into the NIHMS

Step 2: Initial Approval

Step 3: NIHMS Conversion

Step 4: Final Approval

Step 5: PMCID Assigned

## FUNDING SUPPORT

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*Keywords: Public Access Policy, non-compliance, PMCID, NIHMS*

## APPENDIX A

From: <[nihms-help@ncbi.nlm.nih.gov](mailto:nihms-help@ncbi.nlm.nih.gov)>

Date: June 3, 2019 at 5:04:46 AM PDT

To: <[emailaddress](#)>

Subject: [nihms] Manuscript #1031896: Please review the PMC-ready Documents

Dear Dr. X,

The PMC-ready version of your NIHMS manuscript (NIHMS1031896 - "A dyadic multiple mediation model of patient and spouse stressors predicting patient dietary and exercise adherence via depression symptoms and diabetes self-efficacy") is now available for your review.

Please proceed to the NIHMS system to review the PMC-ready documents. This is necessary to complete your manuscript submission to PubMed Central (PMC).

To sign in, go to <https://www.nihms.nih.gov> and choose the eRA sign-in route.

Your sign-in username is: This will be your eRA Commons user name

If you forgot your password, you can request a new one from eRA after going to the sign-in page.

Once signed in, you will be able to either approve the material for release to PubMed Central or request that corrections be made to the manuscript.

A step-by-step tutorial for completing the Final Approval is available at <https://www.nihms.nih.gov/db/sub.cgi?page=stepbystep>. (TIP: If you open a step-by-step tutorial in a different browser window, you can refer to it as you proceed with the process in the NIHMS system.)

**PLEASE DO NOT REJECT THE PMC-READY DOCUMENTS FOR THE FOLLOWING REASONS:**

- Not the final version: Public access policies often call for the submission of the peer-reviewed, accepted manuscript. To use the final published version, you need explicit permission from the publisher; please note, however, that due to copyright restrictions, the publisher can deny this request.

- PubMed link(s) missing from reference(s): These links are automatically generated and cannot be added manually by NIHMS staff.

If you have any questions, please contact the NIHMS Help Desk at <https://www.nihms.nih.gov/db/sub.cgi?page=email> for assistance.

Sincerely,

The NIHMS Help Desk

## APPENDIX B

From: <[nihms-help@ncbi.nlm.nih.gov](mailto:nihms-help@ncbi.nlm.nih.gov)>

Date: April 25, 2019 at 7:33:27 PM CDT

To: <[emailaddress](#)>

Subject: [nihms] Manuscript #1503085: Your manuscript is available in PMC

Dear Dr. X,

You are receiving this email because you are associated with Manuscript NIHMS1503085 ("Title of manuscript") as an author, PI, or other interested party in the NIHMS system. The manuscript has now been loaded into PubMed Central (PMC) and made available for public access:

<https://www.ncbi.nlm.nih.gov/pmc/articles/PMC6309214>

The submission process for this manuscript is now complete. As always, please feel free to contact the NIHMS Help Desk with any questions at <https://www.nihms.nih.gov/db/sub.cgi?page=email>.

Sincerely,

The NIHMS Help Desk