NIH Public Access Policy

The **NIH Public Access Policy** ensures that the public has access to the published results of NIH funded research. It requires scientists to submit journal articles that arise from NIH funds to the digital archive PubMed Central. The Policy requires that these articles be accessible to the public on PubMed Central to help advance science and improve human health.

What is the NIH Public Access Policy and what does it cover?

The public has access to the published results of NIH-funded research. It requires scientists to submit manuscripts generated from NIH funds to PubMed Central

http://www.ncbi.nlm.nih.gov/pmc/

The Policy applies to any manuscript that was funded by the NIH if it:

- is peer-reviewed
- was accepted for publication after April 7, 2008

http://publicaccess.nih.gov/determine_applicability.htm

The NIH Public Access Policy does **NOT** apply to the following:

- Articles accepted for publication before April 7, 2008.
- Articles which resulted from work that was funded by agencies other than NIH.
- Books and book chapters.
- Dissertations.
- Any non-peer-reviewed work, such as conference proceedings or editorials.

What formats are accepted?
Text files must be in MS Word or pdf. Other files in appropriate formats: wav, mp3, etc.

When should they be deposited?

Manuscripts and related files should be submitted AS SOON AS THE PEER REVIEW PROCESS AND CHANGES ARE COMPLETE. Do not wait until actual publication. Do not submit the Publisher's redacted, published, pdf.

Why should they be submitted before publication?

NIH requires that all cited literature in a report or grant application include the PubMed Central ID numbers ("PMCID") with each citation. This is evidence of compliance with the law. The NIH allows a 3month window beginning at the time a manuscript clears Peer Review, for the submission process to be completed, and the PMCID assigned. If the PMCID is not assigned within this 3month period, the PI is considered "out of compliance" with the law.
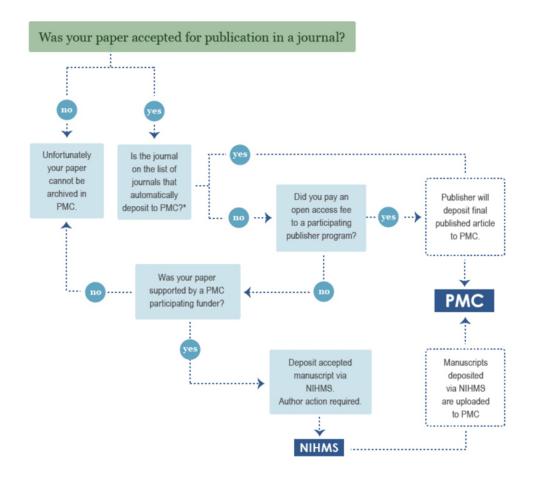
What are the consequences of non-compliance?

A report or application without required PMCIDs may not be accepted. The PI's funding may be delayed, or denied.

How do articles become Public Access Policy compliant?

Manuscripts can be deposited into PMC the following ways:

- The author asks the publisher to deposit specific final published article in PMC, usually for a fee
- The publisher deposits the final peer-reviewed manuscript into NIHMS. The Author is responsible for ensuring that the manuscript is deposited into PMC by completing all remaining steps in the NIHMS process in order for the submission to be accepted to PMC.

Was your paper accepted for publication in a journal?

no → Unfortunately your paper cannot be archived in PMC.

yes → Is the journal on the list of journals that automatically deposit to PMC?*

yes → Publisher will deposit final published article to PMC.

no → Did you pay an open access fee to a participating publisher program?

yes → Publisher will deposit final published article to PMC.

no → Was your paper supported by a PMC participating funder?

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yes → Deposit accepted manuscript via NIHMS. Author action required.

Manuscripts deposited via NIHMS are uploaded to PMC

PMC

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Submit to PubMed Central (PMC)

- There are 4 different methods that journals use for submitting articles to PubMed Central (PMC).
- **Method A:** Journal deposits final published articles in PubMed Central without author involvement.
  https://publicaccess.nih.gov/submit_process_journals.htm
- **Method B:** Author asks publisher to deposit specific final published article in PMC
- **Method C:** Author deposits final peer-reviewed manuscript in PMC via the NIHMS
- **Method D:** Publisher deposits manuscript files in NIHMS. Author or PI are responsible for completing the approval steps.

Methods A and B correspond to "Papers that come directly to PMC" and Methods C and D correspond to "All other papers, which go through NIHMS to PMC". https://publicaccess.nih.gov/submit_process.htm

	Method A	Method B	Method C	Method D
	Author publishes in a journal that submits all NIH-funded final published articles to PMC; no fee.	Author requests a publisher to submit an individual NIH-funded final published article to PMC (usually for a fee).	Author self-submits the final peer-reviewed manuscript to NIHMS; NIHMS prepares manuscript for posting to PMC.	Publisher submits the final peer-reviewed manuscript to NIHMS on behalf of NIH-funded authors (no fee); NIHMS prepares manuscript for posting to PMC.
Which journal publishers participate?	See list of participating journals.	Author makes specific arrangements with select publishers.	No list of publishers—author reviews the copyright agreement form before signing to confirm publisher policy is consistent with NIH Policy requirements.	Author reviews the copyright agreement form before signing to confirm publisher policy is consistent with NIH Policy requirements. Select publishers voluntarily provide service.
Which version of the work will be posted to PMC?	Final published article	Final published article	Final peer-reviewed manuscript	Final peer-reviewed manuscript
Who submits the work to PMC/NIHMS?	Publisher submits to PMC.	Publisher submits to PMC.	Author or third party such as a lab assistant or research coordinator (non-publisher)	Publisher submits to NIHMS. This is frequently not an automatic process, i.e., author needs to request service.
What is the submission time frame?	After the publisher has prepared the final published article.	After the publisher has prepared the final published article.	Upon acceptance of publication. (Authors should confirm that this is stated in the copyright agreement form)	Upon acceptance of publication. (Authors should confirm that this is stated in the copyright agreement form)
Who reviews and approves the submission?	Publisher	Publisher	If author submits: One email from NIHMS sent to author: 1."Approve Web Version" If third party submits: Two emails from NIHMS sent to author: 1."Approve PDF Receipt" 2."Approve Web Version"	Two emails sent to author from NIHMS: 1."Approve PDF Receipt" 2."Approve Web Version"
What is the maximum embargo period?	12 months	12 months	12 months	12 months
What is proof of compliance for papers within three months of publication?	PMCID or "PMC Journal – In Process."	PMCID or "PMC Journal – In Process."	PMCID or NIHMS ID. (Use of "PMC Journal – In Process" is NOT allowed for Method C)	PMCID or NIHMS ID. (Use of "PMC Journal – In Process" is NOT allowed for Method D)
What is proof of compliance for papers three months post publication?	PMCID	PMCID	PMCID	PMCID

Publishers' policies on the NIH Public Access Policy

*To determine if a journal participates in PMC, see the PMC Journal List (note the journal's participation level and embargo to ensure that your paper is covered by the agreement) or the NIH Public Access Policy Journal List if you have NIH funding. If you are still unsure whether your journal participates in PMC or if you need further assistance determining the submission method, please contact

- **Journals That Submit All NIH-Funded *Final Published Articles* to PubMed Central:** Many journal publishers submit all NIH-funded final published articles directly to PMC on behalf of their authors. If an author publishes in one of these journals, no further action is needed to comply with the submission requirement of NIH Public Access policy. A complete list is available from PMC.
- **Policies of Journal Publishers That <u>Do Not</u> Submit *Final Published Articles* to PubMed Central:** Other publishers allow their authors to submit a copy of the author's final manuscript to PMC or will submit a copy for the author if requested. See below for the policies of specific publishers.

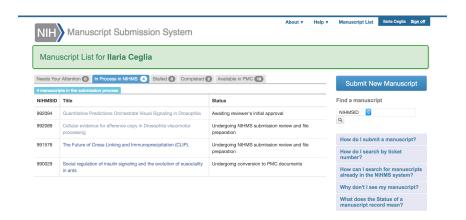**NIH Manuscript Submission (NIHMS) System: Processing manuscripts**

The NIHMS system is the first step to getting a paper into PubMed Central (PMC).

Articles are generally deposited by the publishers into NIHMS but sometimes must be deposited by the authors.

To check if a paper has been deposited or the status of a deposited paper you can login via an eRA Commons account in the NIH system.

In the NIHMS system you can submit a new manuscript or track the progress of a publication that has been submitted.
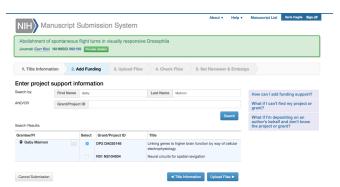
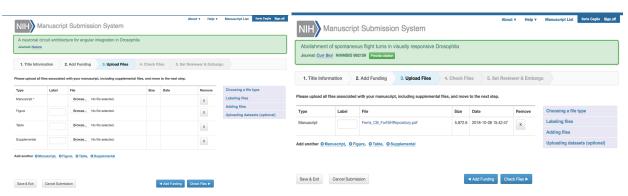# NIHMS process - step by step
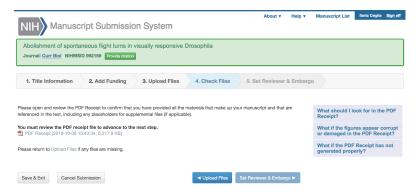
- ## Deposit files: title information

- ## Deposit files: funding information

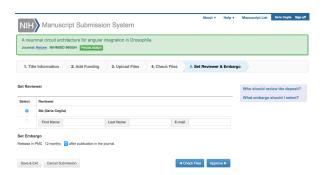- ## Deposit files: upload manuscript files

- **Deposit files: check your files by reviewing the PDF receipt file**

- **Deposit files: set reviewer and embargo**

1) Submitter is the reviewer

2) PI is the reviewer

- **Deposit files: manuscript summary**

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Abolishment of spontaneous flight turns in visually responsive Drosophila
Journal: Curr Biol NIHMSID 992159 Provide citation

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Manuscript Summary

Status	Awaiting submitter's initial approval or designation of reviewer
Manuscript Title	Abolishment of spontaneous flight turns in visually responsive Drosophila
Journal Title	Current biology : CB
NIHMSID	992159
PDF Receipt	PDF Receipt [2018-10-08 17:30:56, 6,217.9 KB]
Reviewer	Gaby Maimon

Funding and contacts

Role	Name	E-mail	Grant/Project #	Grant/Project Title
PI	Gaby Maimon	gaby.maimon@rockefeller.edu	DP2 DA035148	
Submitter	Ilaria Ceglia	ilariac@rockefeller.edu		

Manuscript Files

Type	Figure/Table #	Filename	Size, KB	Uploaded
Manuscript		Ferris_CB_ForNIHRepository.pdf	5,972.6	2018-10-08 15:42:47

PMCID, PMID and NIHMSID

- **PubMed ID (PMID)**: This is the reference number assigned to all articles in PubMed. The PMID is linked with a paper's abstract in PubMed and is **not** associated with the NIH Public Access Policy
- **PubMed Central ID (PMCID)**: This is the reference number assigned to articles available in PubMed Central. A PMCID is linked to a full-text article available in PMC. It is the ID you want to use when citing papers in NIH documents.
- **NIH Manuscript Submission ID (NIHMSID)**: After submitting a manuscript through the NIH Manuscript Submission system (NIHMS) through methods C or D, your manuscript will be assigned a NIHMSID. The NIHMSID can be used to signify compliance less than three months after publication for papers that have not yet been assigned a PMCID.

    Note: For a given PMID (or list of them), you can use the [PMCID/PMID/NIHMSID Converter](#) to obtain the PMCID or NIHMSID if they exist.

All NIH applications, proposals, and progress reports must include the PubMed Central reference number (PMCID) when citing an article that falls under the NIH Public Access policy and is authored or co-authored by an investigator or arose from an investigator's NIH award.

The **PMCID** reference number will need to be included on documents such as the Literature Cited section and the Publications List that are included as part of NIH applications, proposals, and progress reports.

It is important to comply with this policy in its entirety. NIH has indicated that a failure to comply with this statutory requirement may delay a future grant or jeopardize future research funding.

What is a PMCID Reference Number?

A PMCID is a unique PubMed Central reference number which is assigned to each full-text record made available in PubMed Central.

What is a PMID Number?

The PubMed ID (PMID) identifies a *citation record* (rather than full-text) in the PubMed database. It is *not* evidence of compliance with the NIH Public Access Policy because it does not identify a full-text submission of any kind.

What is a NIHMSID Number?

The NIHMS ID is a reference number assigned when a manuscript is submitted to NIHMS. The number indicates that a manuscript has been submitted to PubMed Central in compliance with the NIH Public Access Policy, but that the full text is not yet available.

The NIHMS ID is used temporarily until a PMCID is assigned. NIHMS ID number will be valid with three months the work is published. Once the full text of a paper is available in PubMed Central, a PMCID should be used in place of the NIHMSID.

How to locate a PMCID Reference Number in PubMed

You may perform a relevant literature search in PubMed and view the PMCID reference number by selecting the *Abstract Plus* display. You will find the PMCID reference number located under the abstract on the lower bottom right of the display. The PMID identifier number can be located under the abstract on the lower bottom left of the display.

Format: Abstract ▾   Send to ▾

J Neurosci Res. 2016 Dec;94(12):1531-1545. doi: 10.1002/jnr.23929. Epub 2016 Sep 23.

Astrocyte-produced leukemia inhibitory factor expands the neural stem/progenitor pool following perinatal hypoxia-ischemia.

Felling RJ[1,2], Covey MV[2], Wolujewicz P[3], Batish M[3], Levison SW[4].

⊕ Author information

Abstract

Brain injuries, such as cerebral hypoxia-ischemia (H-I), induce a regenerative response from the neural stem/progenitors (NSPs) of the subventricular zone (SVZ); however, the mechanisms that regulate this expansion have not yet been fully elucidated. The Notch- Delta-Serrate-Lag2 (DSL) signaling pathway is considered essential for the maintenance of neural stem cells, but it is not known if it is necessary for the expansion of the NSPs subsequent to perinatal H-I injury. Therefore, the aim of this study was to investigate whether this pathway contributes to NSP expansion in the SVZ after H-I and, if so, to establish whether this pathway is directly induced by H-I or regulated by paracrine factors. Here we report that Notch1 receptor induction and one of its ligands, Delta-like 1, precedes NSP expansion after perinatal H-I in P6 rat pups and that this increase occurs specifically in the most medial cell layers of the SVZ where the stem cells reside. Pharmacologically inhibiting Notch signaling in vivo diminished NSP expansion. With an in vitro model of H-I, Notch1 was not induced directly by hypoxia, but was stimulated by soluble factors, specifically leukemia inhibitory factor, produced by astrocytes within the SVZ. These data confirm the importance both of the Notch-DSL signaling pathway in the expansion of NSPs after H-I and in the role of the support cells in their niche. They further support the body of evidence that indicates that leukemia inhibitory factor is a key injury-induced cytokine that is stimulating the regenerative response of the NSPs.

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KEYWORDS: Notch; astrocytes; leukemia inhibitory factor; rats; stem cells; stroke; subventricular zone

PMID: 27661001   PMCID: PMC5082180   DOI: 10.1002/jnr.23929

[Indexed for MEDLINE]   **Free PMC Article**

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PMID and PMCID numbers may also be found in the **Faculty Publications List.**

How to cite a PMCID Reference Number

Example:

Krutchinsky AN, Cohen H, Chait BT. A novel high-capacity ion trap-quadrupole tandem mass spectrometer. International Journal of Mass Spectrometry 2007;268(2-3):93-105. **PMCID: PMC2268102**

PMID to PMCID Converter

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WHAT DO I DO IF THE PUBMED CENTRAL REFERENCE NUMBER (PMCID) HAS NOT BEEN ASSIGNED YET?

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Example, before PMCID is available: Cerrato A, Parisi M, Santa Anna S, Missirlis F, Guru S, Agarwal S, Sturgill D, Talbot T, Spiegel A, Collins F, Chandrasekharappa S, Marx S, Oliver B. Genetic interactions between *Drosophila melanogaster* menin and Jun/Fos. *Dev Biol.* 2006 Oct 1; 298(1): 59-70. NIHMSID: NIHMS44135 The same paper, once the PMCID is available: Cerrato A, Parisi M, Santa Anna S, Missirlis F, Guru S, Agarwal S, Sturgill D, Talbot T, Spiegel A, Collins F, Chandrasekharappa S, Marx S, Oliver B. Genetic interactions between *Drosophila melanogaster* menin and Jun/Fos. *Dev Biol.* 2006 Oct 1; 298(1): 59-70. PMCID: PMC2291284

II. If you publish in a [journal](#) that deposits all NIH-funded final published articles in PubMed Central (PMC) without author/the Rockefeller Library involvement, a PMCID may not be assigned for some time after publication. During this time, please signify compliance with the policy by indicating "PMC Journal - In Process" at the end of the citation.

Example, before PMCID is available: Sala-Torra O, Gundacker HM, Stirewalt DL, Ladne PA, Pogosova-Agadjanyan EL, Slovak ML, Willman CL, Heimfeld S, Boldt DH, Radich JP. Connective tissue growth factor (CTGF) expression and outcome in adult patients with acute lymphoblastic leukemia. *Blood.* 2007 April 1; 109(7): 3080-3083. PMCID: PMC Journal - In Process

The same paper, once the PMCID is available: Sala-Torra O, Gundacker HM, Stirewalt DL, Ladne PA, Pogosova-Agadjanyan EL, Slovak ML, Willman CL, Heimfeld S, Boldt DH, Radich JP. Connective tissue growth factor (CTGF) expression and outcome in adult patients with acute lymphoblastic leukemia. *Blood.* 2007 April 1; 109(7): 3080-3083. PMCID: PMC1852221

Public Access Compliance (PAC) Monitor

A web-based tool that institutions can use to track compliance of publications that fall under the NIH Public Access Policy. If the institution receives awards from NIH, the PAC monitor will identify the journal articles that have been linked to those awards and will show the compliance status of each.

The Monitor is getting this information about the grants, the journals from a different places including PubMed, My NCBI, PMC itself and the NIH manuscript submission system. Access to the Monitor is limited to individuals who have a PACR role

The Rockefeller University Library has been assigned a PACR role in the eRA Commons and can access the compliance reports for Rockefeller investigators, track the status of publications that have been deposited into NIHMS from the deposit all the way through to final approval, locate and confirm NIHMS IDs.

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Institution Summary

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Pages: [1]

Last Updated: 10/03/2018

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PMID	PMCID	NIHMSID	Grant Number	PI Name	Publication Date	NIHMS file deposited	NIHMS initial approval	NIHMS tagging complete	NIHMS final approval
28482118			UL1 TR001866 KL2 TR001865	COLLER, BARRY	11/01/17				
28953888	903235		R01 AI050111	BIENIASZ, PAUL D	10/05/17	05/09/18	05/09/18	05/16/18	
29044909	917276		R01 AI089844	SIMON, SANFORD M	01/01/18	09/14/18			
29337081	927404		DP2 DA035148	MAIMON, GABY	01/22/18	12/13/17		02/02/18	
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