

# Reminder Concerning Grantee Compliance with Public Access Policy and Related NIH Monitoring Activities

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**Notice Number:** NOT-OD-08-119

## Key Dates

Release Date: September 23, 2008

## Other Relevant Notices

- January 11, 2008, ([NOT-OD-08-033](#)) - Revised Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research

## Issued by

National Institutes of Health (NIH), (<http://www.nih.gov>)

## Purpose

This Notice describes NIH Public Access Policy compliance monitoring efforts for Fiscal Year (FY) 2009. It also provides important reminders concerning grantee demonstration of compliance and the location of citations for papers in applications, proposals and progress reports. Grantees are responsible for compliance with the Policy, including ensuring that any publishing or copyright agreements permit submission to PubMed Central in accord with the Policy.

## NIH Compliance Monitoring

In FY2009, Program Directors/Principal Investigators (PDs/PIs) will be notified via an email from the Program Official if citations of papers included in applications, proposals or progress reports appear to fall under the Policy but lack a demonstration of compliance as described below. The citations of concern will be explicitly listed. The Institutional Business Official will be copied on the email.

The PD/PI will be asked to respond via email to both the Program Official and the Institutional Business Official with confirmation that papers listed in the email are in compliance. Confirmation should include the citation for the paper plus the appropriate identifier as described below under Demonstrating Compliance. If the paper is not covered by the Policy, the PD/PI should provide an appropriate explanation (e.g., manuscript was accepted for publication prior to April 7, 2008; the paper was not peer-reviewed). Grantees are reminded that compliance with the Policy is a Term and Condition of the award.

## **Reminder: Demonstrating Compliance**

Grantees are reminded to demonstrate compliance with the Public Access Policy when submitting an application, proposal, or progress report to the NIH. **Grantees should include the PubMed Central (PMC) reference number (e.g., PMC234567) for each paper that was authored or co-authored by the applicant or arose from their NIH award, and that falls under the Policy.**

**If the PubMed Central reference number (PMCID) is not available because the paper has not been published yet, authors should use the NIH Manuscript Submission reference number (e.g., NIHMS97531).**

**If the PMCID is not available because the Journal submits articles directly to PMC on behalf of their authors, applicants should indicate "PMC Journal - In Process." Grantees may only indicate "PMC Journal-In process" if the journal is on this list: [http://publicaccess.nih.gov/submit\\_process\\_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm), or the grantee or author has made arrangements with a publisher on this list [http://publicaccess.nih.gov/select\\_deposit\\_publishers.htm](http://publicaccess.nih.gov/select_deposit_publishers.htm) to post a paper directly to PMC.**

The PMCID is posted in PubMed as soon as an article has been successfully processed by PMC, which usually occurs around the time of publication. PMCIDs are listed in the lower right corner of the Abstract Plus view of PubMed (<http://www.ncbi.nlm.nih.gov/PubMed/>). If the paper is not yet publicly available on PMC, PubMed will also list the date the paper will become available. NIH provides other methods of obtaining PMCIDs (e.g. <http://www.ncbi.nlm.nih.gov/sites/pmctopmid>), as do several bibliography management software packages.

NIH expects citations in an application, proposal or report to include the most up-to-date information concerning the status of compliance with the Public Access Policy. The NIH Manuscript Submission reference number or "PMC Journal - In Process" should not be used once the PMCID is available. However, previously submitted applications, proposals and reports need not be updated when the PMCID becomes available.

## **Reminder: Location of Literature Citations**

Annotations demonstrating compliance with the NIH Public Access Policy should be placed at the end of each applicable publication citation in every application, proposal or report. The appropriate locations for literature citations vary depending on the application type. Applicants/grantees are strongly encouraged to follow existing application instructions which are summarized in the tables below:

## Competing Applications

<b>Submission Format</b>	<b>New Application</b>	<b>Renewal (in addition to requirements for new applications)</b>	<b>Biographical Sketch</b>
<a href="#">SF 424 (R&amp;R)</a>	Provide in Item 8 (Bibliography & References Cited) of the R&R Other Project Information a bibliography of any references cited in the Project Narrative.	List publications, manuscripts accepted for publication and other printed materials that resulted from the project since last reviewed competitively in the Progress Report Publication List of the Research Plan	Provide selected peer-reviewed publications or manuscripts in press in Section B of the Biographical Sketch upload of the R&R Senior/Key Person Profile.
<a href="#">SF 424 (R&amp;R)</a> <a href="#">SBIR</a>	Provide in Item 8 (Bibliography & References Cited) of the R&R Other Project Information a bibliography of any references cited in the Project Narrative.	Phase II applicants only should list the titles and complete references to all appropriate publications, manuscripts accepted for publication, and other printed materials, if any, that resulted from the Phase I effort, in the Progress Report Publication List of the Research Plan.	Provide selected peer-reviewed publications or manuscripts in press in Section B of the Biographical Sketch upload of the R&R Senior/Key Person Profile.
<a href="#">PHS 398</a>	Provide in the Bibliography and References Cited section of the <a href="#">Research Plan</a> , a bibliography of any references cited in the Project Summary and Relevance section on Form.	Provide in the Progress Report Publication List of the <a href="#">Research Plan</a> , a list of publications, manuscripts accepted for publication and other printed materials that resulted from the project since last reviewed competitively.	Provide selected peer-reviewed publications or manuscripts in press in the <a href="#">Biographical Sketch</a> .

<a href="#">PHS 398 Career Development Award</a> Application (CDA)	Provide in the Bibliography and References Cited section of the <a href="#">Research Plan</a> , a bibliography of any references cited in the Project Summary and Relevance section on Form Page 2.	Provide in the Progress Report Publication List of the <a href="#">Research Plan</a> , a list of publications, manuscripts accepted for publication and other printed materials that resulted from the project since last reviewed competitively.	List all publications in the <a href="#">Biographical Sketch</a> . Identify publications in the Biographical Sketch with a double asterisk if published during the previous period of support.
<a href="#">PHS 398 Training Application</a>	Provide papers authored by trainees or potential trainees in <a href="#">Table 6</a> (Publications of Research completed by Trainees).	Update <a href="#">Table 6</a> with publications of trainees through the time that they complete their training. Refer to instructions in 398, <a href="#">Part II, 8.9.6</a> .	List Program Director publications in the <a href="#">Biographical Sketch</a> .
<a href="#">PHS 416-1 Individual Fellowship Application</a>	Reference applicable publications in the Research Training Plan under C. Preliminary Studies.	Reference appropriate publications in the Research Training Plan under C. Preliminary Studies, Progress Report for Competing Continuation Applications.	List pertinent publications in Section B of the Applicant/Fellow Biographical Sketch.

### **Noncompeting Continuation Progress Reports**

<a href="#">PHS 2590</a>	Report publications resulting directly from the grant that have not previously been reported, on Form Page 5 under a subheading E. Publications.
<a href="#">PHS 2590 CDA</a>	Report publications resulting directly from the grant that have not previously been reported, on Form Page 5 under a subheading E. Publications.
<a href="#">PHS 2590</a>	List all trainee publications not previously reported, including those

<a href="#">Institutional Training Grant</a>	<p>by former trainees still in research training, on Form Page 5, under C. Trainees.</p>
<a href="#">eSNAP</a>	<p>When an eRA Commons eSNAP is initiated, a list of publications is automatically pulled into the Upload Science screen, for potential inclusion in the progress report, from two sources. First, eRA Commons pulls citations from the NIH Manuscript Submission system (including the appropriate PMCIDs and NIHMSIDs) that can be attributed to any PD/PI identified on the Notice of Award. Second, the list contains all manual entries from the Publications section of all PDs/PIs <a href="#">Personal Profiles</a>. These manual entries are displayed with the Citation Source of “PD/PI Entered” both within the eSNAP and within the Publications section of the user’s Personal Profile.</p> <p>Users must carefully review the publication list and “check” the checkbox of all citations to be associated with the report. The eSNAP user also has the option to manually add additional citations from within eSNAP. When manually entering citations, users should include the appropriate identifier as described above under Demonstrating Compliance. It is important to verify that the NIH Manuscript Submission System Status shows “AVAILABLE” on the Upload Science page when preparing and submitting the eSNAP report to ensure that all appropriate citation information is included in the report.</p>
<a href="#">PHS 416-9 Individual Fellowship</a>	<p>List publications on <a href="#">Form Page 2</a> under 17.B. Progress.</p>

## Final Progress Reports

Prepare report in accord with instructions provided by awarding component.	Include a list of publications resulting from the project, with plans, if any, for further publications. See <a href="http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-051.html">http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-051.html</a> .
<a href="#">PHS 416-7 NRSA Termination Notice</a> (trainees and fellows)	List any publications resulting from research during the period of the training in block 8 on form 416-7.

### Resources

The NIH Public Access Policy Website, <http://publicaccess.nih.gov/>, includes Frequently Asked Questions <<http://publicaccess.nih.gov/FAQ.htm>> and other information relevant to the Policy.

### Inquiries

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