NIH Public Access Compliance Monitor User Guide

The NIH Public Access Compliance Monitor provides an institution with the current compliance status of all journal articles that are associated with the institution and fall under the NIH Public Access Policy (see http://publicaccess.nih.gov/). This database is provided as a service to our awardees to help them track compliance, should they wish to use it. It is not a formal reporting or monitoring tool for NIH.

The compliance monitor is available at http://www.pubmedcentral.nih.gov/utils/pacm/.

Who has access to the Public Access Compliance Monitor?

To gain access to the compliance monitor, users must first be assigned a "PACR" role by an administrator at their institution who is authorized to assign roles in NIH's eRA Commons grants administration system. Users with a PACR role have access to the compliance reports for their institution. The reports are organized by IPF (Institutional Profile File) number, the unique ID assigned to a grantee organization in the eRA system. If your institution has multiple IPF numbers, you must be assigned a PACR role for each IPF that you wish to monitor and you must log in to the compliance monitor separately for each IPF number.

What is in the Public Access Compliance Monitor?

The compliance monitor contains a list of all articles that NIH believes a particular grantee institution (IPF number) is responsible for under the terms of the Public Access Policy. An article published in 2008 or later is included in the list if it has been associated with NIH funding (a grant, contract, etc.) provided to the institution. The funding connection may come from an acknowledgement statement in the article or from a separate association made by an author, e.g., during the process of submitting the manuscript to the NIH Manuscript Submission (NIHMS) system, or through the My Bibliography feature (http://www.ncbi.nlm.nih.gov/sites/books/NBK53595/) of the My NCBI service.

These inclusion criteria are not perfect, and this database may miss papers that are NIH supported and fall under the NIH Public Access policy (e.g. papers posted to PMC without being associated with your institution's award). It also may include papers that do not fall under the policy, such as papers that are directly supported by NIH but are not peer reviewed. For information on how to correct these errors, please see the Q&A section at the end of this guide.

The compliance monitor classifies articles according to compliance status and provides detailed information about each article—a full citation; associated grants and principal investigators (PIs); the PubMed ID and related IDs where available; and a link to the PubMed record.

<u>Defining compliance status</u>

The compliance status of an article in the compliance monitor is based on the following criteria.

- **Compliant**
    - The article has a PMCID (PubMed Central ID), indicating that it has been or is ready to be made public on PubMed Central,
    - OR the article has been published in a Method A journal (see http://publicaccess.nih.gov/submit_process.htm).

- **In Process**
    - The article is NOT from a Method A journal,

- AND it is less than 3 months past its final publication date,
- AND it is still somewhere in the NIHMS processing cycle, i.e., manuscript files have been deposited, but the cycle has not been completed and the article does not yet have a PMCID.

- **Non-Compliant**
  - The article is NOT from a Method A journal,
  - AND it does not have a PMCID,
  - AND it is not "in process" as defined above. (This includes articles less than 3 months past publication that have not yet begun the NIHMS submission process.)

Logging in to the Public Access Compliance Monitor

To use the compliance monitor go to http://www.pubmedcentral.nih.gov/utils/pacm/. You will see the Welcome page below, which has a link to My NCBI.
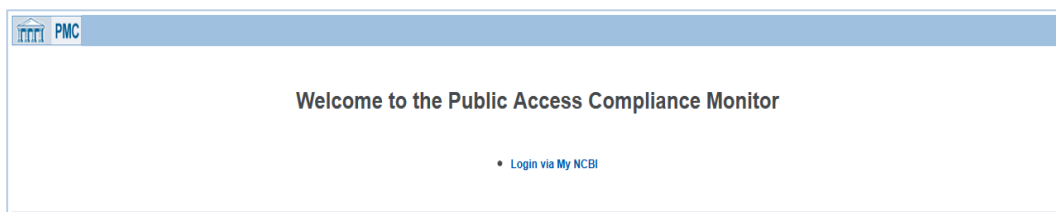
Click on the link to My NCBI. At the bottom of the NCBI sign-in page choose the NIH Login link:

This will take you to the NIH iTrust page, where you must enter the eRA Commons user name and password that are associated with your PACR role. If this is your first time logging in, you will next be taken to a Partner Organization sign-in page. Here you must either provide an email address OR link to an existing NCBI account. When you complete this step you will be taken to the Institution Summary page (future logins will go directly from the NIH iTrust page to the compliance monitor).

Note: If you attempt to open the compliance monitor when you are already logged in to My NCBI with a different user name and password, you will get an error message. You need to sign out of My NCBI and then sign in again via the NIH Login route described above.

Institution Summary page

Once you are logged in, you will get the page below, which summarizes the compliance status of your institution—or, more specifically, the institution with the IPF number that is associated with your login username and password. (Wherever "YOUR INSTITUTION" appears in the examples below, it is a placeholder for your institution name as recorded in the eRA Commons system.)

IPF	Institution	Total articles ↓	Compliant	Non-Compliant	In Process	Compliance rate (%)
123456	YOUR INSTITUTION	3134	2512	606	16	80

Compliance status as of 02/01/2012 for articles published between 01/2010 and 12/2011 — [Go]
Download as CSV file — Page size: 10 [25] 50 100 1000 — Pages: [1]

- By default, the report shows compliance status for articles published in the last year (current month plus 12 months). Use the date boxes at the top of the page to change the date range.

- Click on the *Compliant*, *Non-Compliant*, or *In Process* number to go to an Institution Details page that lists the articles that are in each of these three states.

Institution Details page

The Institution Details page lists all the articles for your institution, broken down by compliance status. You can move between the *Compliant*, *Non-Compliant*, and *In Process* lists on this page by clicking on the corresponding item in the table header.

Institution Summary > YOUR INSTITUTION > Non-compliant
Compliance status as of 08/01/2012 for articles published between 07/2011 and 06/2012 — [Go]
YOUR INSTITUTION: Compliant(666) | Non-compliant(172) | In process(8)
Download as CSV file
Page size:[10] 25 50 100 1000 — Pages: <Prev 1 ... 4 [5] 6 ... 47 Next>

PMID ⇧	PMCID	NIHMSID	Grant Number	PI Name	Publication Date	NIHMS file deposited	NIHMS initial approval	NIHMS tagging complete	NIHMS final approval
21534005		376722	P50 DA123456	SMITH, JANE JONES, TOM	03/01/12	05/10/12			
21540055			R01 DK456789	DOE, JOHN	07/15/11				
21549724		297370	P50 DA987654 R01 DA543211 T32 DA567012 T32 DA012789	DAVIS, ANDREW SMITH, JOHN DOE, JOAN	07/25/11	05/17/11	05/18/11	05/27/11	
21595857			K12 HD023654	SMITH, ADAM	01/01/12				
21607759		318261	U54 HD019256	DAVIS, ANNE	01/01/12	08/12/11	08/12/11	08/25/11	
21612774			U01 DK011727	JONES, ANN	07/01/11				

Pages: <Prev 1 ... 4 [5] 6 ... 47 Next>

Other things you can do on this page:

- Hold your cursor over any PMID to see the corresponding article title, authors, and journal name. Click the PMID to get a full Article Details page for the article.

- Click any column heading in the table to sort the list by that field.

- Use Page size, at the top left of the table, to change the number of lines that are displayed on each page of the report.

- The "**Download as CSV file**" link in the upper right corner lets you download the current list to an Excel spreadsheet. Items in the file will be sorted in the same order as you have them in the online display. In addition to the columns in the Institution Details table, the CSV file also includes sortable columns identifying article title, first author name and affiliation, journal title and publisher, and the person who is currently responsible for any actions needed to complete the NIHMS submission process.

Explanation of fields in the Institution Details table

PMID, **PMCID**, and **NIHMSID** are the unique article identifiers assigned to each article in PubMed, PMC, and the NIHMS, respectively. Every article in the list has a record in PubMed, and therefore a PMID. If an article does not show a PMCID or an NIHMSID, it means the article does not exist (has not been deposited) in the respective system.

Under submission methods A and B (http://publicaccess.nih.gov/submit_process.htm), a publisher deposits the final published version of an article directly in PMC, without ever going through the NIHMS. In this case, the article will get a PMCID without having an NIHMSID.

Under submission methods C and D, an article receives an NIHMSID when the accepted manuscript files are first deposited in the NIHMS system. The four "NIHMS" columns on the right end of the Institution Details table mark progressive stages in the submission process described for methods C and D at http://publicaccess.nih.gov/submit_process.htm#c. Each date represents the completion of that stage:

- **NIHMS file deposited** – author or publisher has deposited the accepted manuscript files.

- **NIHMS initial approval** – author / PI has linked the manuscript to specific NIH funding and authorized NIH to begin processing the manuscript.

- **NIHMS tagging complete** – NIH has converted the manuscript files to the standard PMC format and sent the author an email request to review this version in the NIHMS and approve its release to PMC.

- **NIHMS final approval** – author has approved release of the PMC-formatted manuscript.

The article receives a PMCID after the completion of the last stage.

Article Details page

When you click on a PMID in the Institution Details table, you get an Article Details page with more information about the article. From here:

- Click the PMID number to see the PubMed record for this article. (Click "XML" to get the XML version of the record.)

- If a PMCID is shown, click it to get the complete article in PMC. (An article receives a PMCID as soon as it is deposited in PMC, but it may still be embargoed for public release for up to 12 months after publication. In the event that the article is still embargoed, PMC will display a message with the date on which the article will be publicly available.)

When an article is associated with grants at multiple institutions, the Institution Details page shows only that institution's grants and PIs. However, the corresponding Article Details page lists all grants, PIs, and institutions associated with the article.

Explanation of terms used on the Article Details page

The Article Details page repeats many of the terms used on the Institution Details page. Those terms are not explained again here.

- ***Method A journal*** – a "Yes" here means that the article was published in a journal during the active period of a Method A agreement between the journal and NIH. See http://publicaccess.nih.gov/submit_process_journals.htm for the effective start dates (and, in a few cases, end dates) of participation for each Method A journal. Papers published in Method A journals are automatically marked compliant because the publisher has committed to providing PMC with the final published version of all articles that fall under the NIH Public Access Policy. However, if you know of a paper that has been published in a Method A journal but has not received a PMCID more than three months after publication, please inform the public access helpdesk (PublicAccess@nih.gov).

- **Journal Publisher** – the publisher name on the Article Details page is taken from the NLM catalog and may be different from the publisher name you commonly associate with the journal.

- In the NIHMS section of the page, the "**Initial actor**" is the person or organization that made the initial deposit of manuscript files in the NIHMS. The "**Latest**" actor is the person who currently is responsible for any actions needed to complete the processing of a manuscript. If the page shows a *Final approval* date, processing of the manuscript has been completed and the article is considered to be compliant. So in the Article Details page shown above, the **Latest** actor is the person who completed the process.

Q&A: How to use the Public Access Compliance Monitor to improve compliance with the NIH Public Access Policy

Question: How do I use the Public Access Compliance Monitor to create a list of non-compliant papers for PIs?

Answer: From the Institution Summary page, click on the *Non-Compliant* number to go to the Institution Details page. Sort the non-compliant list by PI and then download the list as a CSV file. The resulting Excel spreadsheet will include additional information (including article titles, first author names, and "latest actor" names), which gives each PI a convenient tool for following up on compliance issues.

Question: Can I monitor the status of a specific manuscript in the NIHMS system?

Answer: To monitor the status and progress of a manuscript in NIHMS, go to http://www.nihms.nih.gov and log in to the system. After logging in, you may search for a manuscript by PMID or NIHMSID. Once you have located the manuscript you want to monitor, you may put in a request to "watch" the record. The request will be reviewed and you will receive a decision by email within a week. If approved, you will be able to view details of the NIHMS record, including messages sent to the individual currently responsible for the manuscript, and to track new developments in the submission process.

Question: Suppose a manuscript is stalled in the NIHMS system and the Article Details page identifies a "latest actor" who is not at my institution. If the Public Access Compliance Monitor also associates this manuscript with a person at my institution, how can that person take over responsibility for completing the deposit process?

Answer: Subject to approval, anyone can watch an NIHMS record. PIs and paper authors also have the option to "claim" a record, which enables them to become the person responsible for moving a stalled manuscript through the NIHMS system. To place a claim request, follow the procedure described in the previous answer and select "claim" instead of "watch." Once a claim request is made, the individual currently responsible for the manuscript is notified. If that individual takes no action within a week, then (subject to NIHMS staff review) the author or PI who has made the claim request will receive an email message and can assume responsibility for the manuscript. If the party making the request is not an author or PI associated with the paper, the claim request will be denied.

Question: Is it possible that a paper identified as non-compliant actually does not fall under the NIH Public Access Policy?

Answer: There are four reasons why a paper identified as non-compliant may actually be exempt from the NIH Public Access Policy:

1. The paper was not peer-reviewed.
2. The paper was accepted for publication before April 7, 2008.
3. The paper was published in a script other than Latin (e.g., Russian, Japanese).
4. The paper was not directly supported by an NIH grant. Note: the compliance monitor captures NIH grant information that is found in the text (e.g., in the acknowledgements section) of articles. Sometimes authors acknowledge grants that did not directly fund the creation of their paper. Although the compliance monitor will identify such papers as non-compliant, they do not fall under the Public Access Policy.

Question: If a PI determines that a non-compliant paper does not fall under the NIH Public Access Policy for one or more of the reasons given above, how can the PI remove the paper from the Public Access Compliance Monitor?

Answer: To remove a paper from the compliance monitor, PIs can do the following:

1. Log in to your My NCBI account.
2. Go to My Bibliography and click on the "Manage My Bibliography" link.
3. Locate the non-compliant paper in your list of citations and click the "Edit Status" link.
4. Select the reason that this article is exempt from the submission requirements of the NIH Public Access Policy.
5. Save your changes but do NOT delete the citation from My Bibliography. When the compliance monitor is next updated it will capture your changes and the paper will be removed.

Question: If a PI determines that a non-compliant paper is exempt and should be removed from the Public Access Compliance Monitor but cannot find the paper in My Bibliography, what can the PI do?

Answer: If the paper is not included in their My Bibliography citations, PIs can do the following:

1. Go to PubMed (http://www.ncbi.nlm.nih.gov/pubmed), enter the article's PMID into the search box, and click search. (The PMID is identified in the compliance monitor.)
2. Use PubMed's "Send to" feature to add the paper to My Bibliography.
3. Go to My Bibliography and click on the "Manage My Bibliography" link.
4. Find the new citation and assign the relevant grant number(s) to it. Use the NIH grant number(s) that is listed with your name in the compliance monitor.
5. Now click the "Edit Status" link for this citation.
6. Select the reason that this article is exempt from the submission requirements of the NIH Public Access Policy.
7. Save your changes but do NOT delete this citation from My Bibliography. When the compliance monitor is next updated it will capture your changes and the paper will be removed.

Question: If a paper falls under the Public Access Policy but has somehow failed to be identified as such, how can PIs make sure that the paper is monitored for compliance?

Answer: PIs can go to My Bibliography, where they will find tools for adding a citation and associating award information with it. Once the new information is saved in My Bibliography, the compliance monitor will capture the changes and the paper will be monitored for compliance.

Question: How long does it take for an update in My Bibliography to appear in the compliance monitor?

Answer: The compliance monitor is updated twice a week; any new information in My Bibliography will be reflected at the time of the next update.

Question: Where should I direct questions that are not covered in this guide?

Answer: Please direct all questions concerning the Public Access Compliance Monitor to the helpdesk at PublicAccess@nih.gov.