A PMCID PRIMER

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What is access policy?

It is required that all publication that is the result of work funded by the NIH be made publicly available. By law, under the 2008 Consolidated Appropriations Act, PubMed Central must receive an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. This policy applies to any manuscript accepted for publication on or before April 7, 2008.

* Note: this policy does NOT apply to: It does not apply to books, chapters, reviews, non-peer reviewed articles or articles not involving NIH funding.

[Source: Notice NOT-OD-08-033]

What is the compliance mandate?

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

If the paper has been submitted for a PMCID number but has not yet received the designation, the NIHMSID number assigned at the time of submission is sufficient to comply within three months of publication. Please note that a PMID is not compliant, because this number does not indicate the public availability of full text.

[Source: Notice NOT-OD-08-033]

How is it determined whether a PMCID number is necessary?

You must include a PMCID number when citing any publication that:

The Policy applies to any manuscript that:

☐   Is peer-reviewed;

☐   AND, is accepted for publication in a journal[1] on or after April 7, 2008;

☐   AND, arises from:

?   Any direct funding[2] from an NIH grant or cooperative agreement active in Fiscal Year 2008 or beyond, or;

?   Any direct funding from an NIH contract signed on or after April 7, 2008, or;

?   Any direct funding from the NIH Intramural Program, or;

?   An NIH employee

Please note that the above criteria have been found to apply to *any manuscript which relies on data obtained from core facilities that receive funding from the NIH*. Therefore, if you have a manuscript sourced from a project that was non-NIH, but you used a core facility that DOES receive NIH funding to obtain data included in said manuscript, a PMCID number IS REQUIRED when listing the publication in reference and citation lists. Applications, proposals and reports must include evidence of compliance (read: PMCID or NIHMSID numbers) with the NIH Public Access Policy for all applicable papers that are authored by the Principal Investigator (PI) or arose from the PI's NIH funds.

[Source: NIHMS Determination of Applicability]

Who is responsible for acquiring the PMCID number?

The corresponding author is responsible for submitting the article to NIH, although the Principal Investigator of NIH grants is responsible for compliance with the Public Access Policy and can also submit the article. The article should be submitted only once, even though there may be multiple grants involved. Individual publishers may submit the "accepted version" to the NIH as a courtesy to the author. Publishers who offer an open access option for a fee will submit the "final version of the article" at the request of the author(s). (See "How is a PMCID number Obtained", below.)

[Source: NIH Public Access Policy FAQs]

How is a PMCID number obtained?

*** *Note: for a visual representation of these methods, please see the *adapted table* provided immediately following this text.*

A PMCID number is issued once a paper has been submitted to PubMed Central. There are four submission methods:

Method A: Publish in a journal that deposits all final published articles in PubMed Central (PMC) without author involvement.

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[1] A journal is defined as a publication that is published in successive parts for an indefinite time frame and has an ISSN (International Standard Serial Number).

[2] "Directly" funded means costs that can be identified specifically with a particular sponsored project, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.

Some journals automatically deposit all NIH-funded final published articles in PubMed Central, to be made publicly available within 12 months of publication, without author involvement. See the list of these journals [can be found here](#).

Method B: Make arrangements to have the publisher deposit a specific final published article in PubMed Central.

Some publishers will deposit an individual final published article in PubMed Central upon author request, and generally for a fee. [See the list of publishers](#) here.

Method C: Deposit the final peer-reviewed manuscript in PubMed Central yourself via the NIH Manuscript Submission System (NIHMS).

Submitting a final peer-reviewed manuscript to PubMed Central (PMC) via the NIHMS involves three tasks, as explained below. Task 1 may be done by an author or by someone in the author's organization (e.g., an assistant or a librarian). *Tasks 2 and 3 must be done by the author.*

A Note on Timing: NIH awardees are responsible for ensuring that manuscripts are submitted to the NIHMS upon acceptance for publication and that all NIHMS tasks are complete within three months of publication.

Task 1: Deposit Manuscript Files and Link to NIH Funding

Upload a copy of the accepted final peer-reviewed manuscript and associated files (e.g., Microsoft Word document and figures) via the NIHMS. At the same time, identify the NIH funding associated with the manuscript. It usually takes less than 10 minutes to complete this task.

Task 2: Authorize NIH to Process the Manuscript

The author designates the number of months after publication when the manuscript may be made publicly available in PMC. The author then confirms, via the NIHMS, a statement that the deposit of the manuscript is consistent with any publication and copyright agreements, and that NIH may begin processing the manuscript for use in PMC.

Task 3: Approve the PMC-formatted Manuscript for Public Display

The NIHMS will convert the deposited files into a standard PMC format, and email the author to approve the PMC-formatted manuscript for public display. The author then reviews and approves the PMC-formatted manuscript via the NIHMS. Corrections to the manuscript, if necessary, may be requested at this time.

Following completion of Task 3:
- The NIHMS will email the author and all PIs the citation with the PMCID once it is assigned;
- PMC will automatically make the paper publicly available after the designated delay period has expired.

Method D: Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited in the NIH Manuscript Submission System (NIHMS).

In a variation of Method C, some publishers deposit the manuscript files in the NIHMS, provide contact information for a corresponding author, and designate the number of months after publication when the paper may be made publicly available in PMC. See the list of Method D publishers.

A Note on Timing: Though a publisher may make the initial deposit of files under Method D, NIH awardees are responsible for ensuring that manuscripts are submitted to the NIHMS upon acceptance for publication and that all NIHMS tasks are complete within three months of publication.

The NIHMS will notify the author when the manuscript files are received from the publisher. At that point, the author must complete all of the tasks outlined for Method C, except for the file deposit part of Task 1 above.

[Source: NIHMS Submission Process]

What are the consequences for non-compliance with access policy?

Beginning in the spring of 2013, NIH began to delay processing of non-competing continuation grant awards if publications arising from that award were not in compliance with the NIH public access policy; the awards will not be processed until recipients have demonstrated compliance.

[Source: NOT-OD-12-160]

Are there any tools available for managing the access compliance of projects?

MyNCBI has features that make it easier for a PI to monitor the compliance of his or her projects. Specifically, the "Bibliography" feature has a menu bar which includes a $ sign. Clicking on that icon will reveal the compliance status of your articles by color-code (red = non-compliant, yellow = in process, and green = compliant). An "N/A" notation means that the article was accepted or published prior to April 7, 2008, or not associated with an NIH grant.

[Source: NLM Technical Bulletin]

Overview of Submission Methods

	Method A Journal deposits final published articles in PubMed Central without author involvement	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 Author completes submission of final peer-reviewed manuscript deposited by publisher in the NIHMS. Authors and awardees are responsible for ensuring that the manuscript is deposited into the NIHMS upon acceptance for publication.
Version of Paper Submitted:	Final Published Article	Final Published Article	Final Peer-Reviewed Manuscript	Final Peer-Reviewed Manuscript
Task 1: Who starts the deposit process?	Publisher	Publisher	Author or designee, via NIHMS, *upon acceptance for publication*	Publisher via NIHMS, *upon acceptance for publication*
Task 2: Who approves paper for processing?	Publisher	Publisher	Author, via NIHMS	Author, via NIHMS
Task 3: Who approves paper for Pub Med Central display?	Publisher	Publisher	Author, via NIHMS	Author, via NIHMS
Participating journal/publisher	Method A Journals	Make arrangements with these publishers	Check publishing agreement	Make arrangements with these publishers
Who is Responsible?	NIH Awardee	NIH Awardee	NIH Awardee	NIH Awardee
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