1. **Does the NIH Public Access Policy apply to the work?**

   “NIH Public Access Policy: Determine Applicability”  
   (http://1.usa.gov/1f3a0PV)

   Yes to all three criteria means that the NIH Public Access Policy applies to the work in question.

   ![Policy Applies to Any Manuscript Table](http://bit.ly/1onS9pm)

   - Is peer-reviewed;
   - And, is accepted for publication in a journal¹ on or after April 7, 2008;
   - And, arises from:
     - Any direct funding² 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

2. **If not applicable, note N/A in My Bibliography using the “Edit Status” function.**

   See *Managing Compliance with the NIH Public Access Policy Using My Bibliography*, http://1.usa.gov/1bmY0lz

3. **If applicable, find the work in PubMed.**

   Does the work have a PMCID noted in the record below the abstract?

   a. If no PMCID in PubMed, copy and paste the PMID into the PMID-PMCID Converter tool (http://1.usa.gov/1kjwg8K) to see if the work has a NIHMSID or a PMCID. (The PMID-PMCID Converter tool is often updated sooner than PubMed.)

   b. If the work is not found in PubMed, go to Step 5.

4. **If a NIHMSID is available on the PMID-PMCID Converter tool** (http://1.usa.gov/1kjwg8K), this indicates that the work was published in a Submission Method C or D journal.

   a. Works published in Submission Method C or D journals are submitted to the NIH Manuscript Submission System (http://nihms.nih.gov/) (NIHMS) to prepare the work for posting to PMC and require approval steps from one of the authors before a PMCID is assigned. See NIH Submission Methods (http://1.usa.gov/1mHFbBC) for the approval steps required.

   b. Next, find the journal policy for works by NIH-funded authors on the journal’s Web site. Look for “Instructions for Authors,” “Copyright information,” “Funding Policies” or any other section that might provide information about copyright policies for NIH-funded authors. This section will provide the details on how to complete a NIHMS (http://nihms.nih.gov/) submission in accordance with the journal’s policies. Is it a Method C or D journal? If no information is provided, authors will need to contact the journal for clarification.

   i. **Submission Method C** (http://1.usa.gov/1mHFbBC) **journals allow authors to self-submit** the work to PMC, or authors can request a third party to submit the work. Depending on who completed the submission, any author could be the responsible author for the approval steps.

   ii. **Submission Method D** (http://1.usa.gov/1odxZnD) **journals submit works to PMC on behalf** of NIH-funded authors and usually assign the corresponding author.

   c. Contact the NIHMS Help Desk (http://1.usa.gov/1kUxFEy) to clarify the status of the work and the name of the responsible author. Include the full citation including the PMID. NIHMS will provide the current processing status of the work and the name of the responsible author for the approval steps.

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d. **If the responsible author is not timely in completing the approval steps** required for a PMCID, any other author can be assigned as the responsible author. There are two methods for requesting assignment.

   i. Send an email to the NIHMS Help Desk (http://1.usa.gov/1kUxFEy). Sample language to the NIHMS Help Desk: Please assign me [INSERT NAME AND EMAIL ADDRESS] as the responsible author for review and approval for the following work per NIH Public Access Policy: [INSERT CITATION TO THE WORK AND PMID].

   ii. Associated authors also have the option of clicking the “Claim Manuscript” button in the NIHMS Manuscript Summary (http://1.usa.gov/1q474ua).

5. If no NIHMSID or PMCID (or if the work is not found in PubMed), check the Submission Method A list (http://1.usa.gov/1gcyDg6) to determine if the work was published in a Submission Method A journal. If yes, confirm that the journal was a Submission Method A journal **at the time of publication** by checking the Start and End Date columns. If confirmed a Submission Method A journal at time of publication, use ‘PMC Journal – In Process’ as documentation of compliance and send an email to the NIH Policy Help Desk (PublicAccess@nih.gov) notifying them of the lack of a PMCID. Include the full citation including the PMID.

6. **If the work was not published in a Submission Method A journal**, find the journal policy for NIH-funded authors for each journal:

   a. On each journal’s Web site, look for “Instructions for Authors,” “Copyright information,” “Funding Policies” or similar section that might provide information about copyright policies for NIH-funded authors. This section will provide the details on how to complete a PubMed Central (PMC) or NIHMS submission in accordance with the journal’s policies. If no information is provided, authors will need to contact the journal for clarification.

   b. If the journal is a Submission Method C journal (author submits), one of the authors should self-submit the work to NIHMS or assign a third party to submit the work. See NIHMS Submission Help (http://1.usa.gov/1n7Ax24) for Principal Investigators (PI) and Non-PIs for guidance on how to submit the work to NIHMS (http://www.nihms.nih.gov).

   c. If the journal is a Submission Method D journal (http://1.usa.gov/1odz2nD), contact the journal to clarify the submission status of the work.  

   **Sample language to send to Method D publishers:**

   *Please advise as to the submission status of the following work per NIH Public Access Policy: [INSERT FULL CITATION TO THE WORK INCLUDING THE PMID].

   This work is applicable under the NIH Public Access Policy and according to your policy as noted on [INSERT URL TO JOURNAL WEBSITE] the journal will submit works to PubMed Central (PMC) on behalf of NIH-funded authors. To date, the work has not been submitted to the NIH Manuscript Submission system (NIHMS) in preparation for posting to PMC. The authors are unable to demonstrate compliance with the NIH Policy until the work is submitted.*

7. Retain copies of all emails sent to the journal. If no response from the journal after two emails or if the journal does not provide sufficient information as to the submission status, please contact the NIH Policy Help Desk at PublicAccess@nih.gov for further assistance.

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Adapted with permission from “Steps for Retroactive Compliance of Works Under the NIH Public Access Policy” by Cathy Sarli, Becker Medical Library, Washington University School of Medicine, July 2013.

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