



The American Physiological Society

INTEGRATING THE LIFE SCIENCES FROM MOLECULE TO ORGANISM

Engineering Your Publication for the Future: Putting the NIH Mandate into Practice

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APS Journal Program

- 1887 – APS founded
- 1898 – Launch of *American Journal of Physiology*
- 14 journals, 4,000 articles published annually
- Embargo period – 12 months
- Legacy content scanned and online
- Author Choice Option offered for immediate access
- Online Platform – HighWire Press



HighWire Press

- A division of the Stanford University Libraries
- World's largest repository of high impact, peer-reviewed scientific content
- Hosts 1171 journals from more than 140 scholarly publishers
- Published 4,831,190 full text articles to date
- 1,933,209 are freely available today
- HW publishers produce 71 of the 200 most-frequently-cited journals

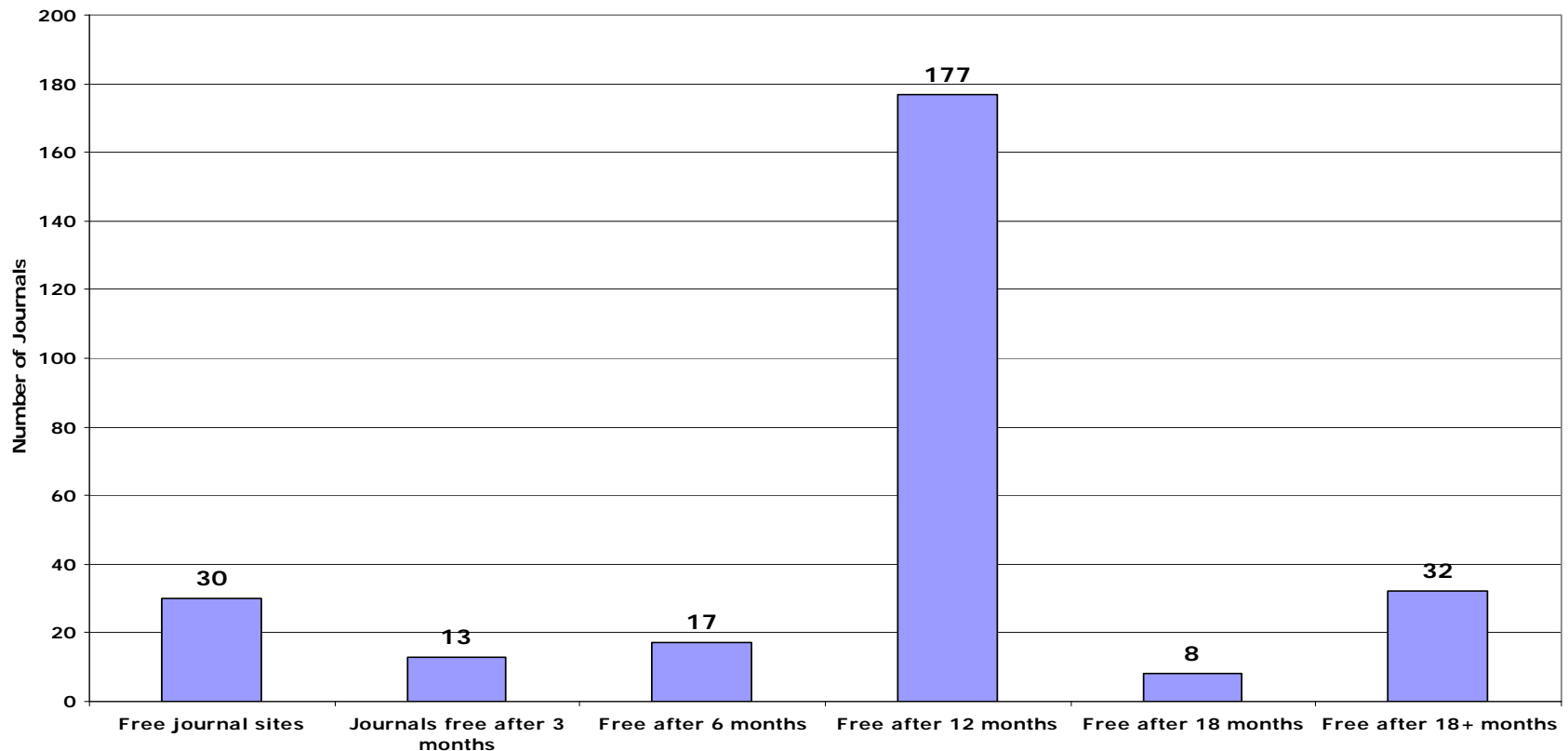


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Free/Delayed Access Models

277 out of 370 HW Medline Journals (provided by John Sack, HW Press)





DC Principles Coalition

- Founded in March 2004 to represent the concerns of not-for-profit publishers
- Comprised of 73 publishers with nearly 400 journals ranging from top-tier medical and research to small niche publications
- Societies have over 700,000 individual members
- Publish nearly 100,000 articles annually
- ~20% are based on research funded by NIH
- Members believe in free access but some opt for free access after 2 years, others after 2 months because one policy does not fit the needs of all publishers



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DISCLAIMER!!



NIH Public Access Plan

- Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008)
- *The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central 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: Provided that the NIH shall implement the public access policy in a manner consistent with copyright law.*



Cautionary Notes

- Senate Report 110-107 – “The Committee highly **encourages collaborations with journal publishers** that would enable them to deposit manuscripts on behalf of the funded investigator, if all parties agree. The Committee directs the NIH to seek and carefully **take into account the advice of journal publishers** on the implementation of this policy. In particular, the Committee directs the NIH to **ensure that publishers’ copyright protections are maintained...**”



Executive Office of the President Statement of Administration Policy

- ***Public Access to Research Information.*** ...the bill would require that manuscripts based on NIH-funded research be made available to the public within 12 months of publication. The Administration notes that NIH's current policy ... has only been in effect for 2 years, and the Administration believes there is opportunity for Congress to **study the current policy and consider ways to encourage better participation.**
- The Administration believes that any **policy should balance the benefit of public access to taxpayer supported research against the possible impact that grant conditions could have on scientific research publishing, scientific peer review and on the United States' longstanding leadership in upholding strong standards of protection for intellectual property.**



Methods of Compliance

- **Method A:** Publish in a [journal](#) that deposits *all final published articles* in PubMed Central (PMC) without author involvement.
- **Method B:** Publish in a [journal](#) that deposits *all NIH-funded final published articles* in PubMed Central (PMC) without author involvement.
- **Method C:** Make arrangements to have a [publisher](#) deposit a *specific* final published article in PubMed Central.
- **Method D:** Deposit the [final peer-reviewed manuscript](#) in PMC yourself via the NIH Manuscript Submission System ([NIHMS](#)).
- **Method E:** Complete the submission process for a final peer-reviewed manuscript that the publisher has deposited in the NIH Manuscript Submission System (NIHMS).



Method A

- **Full participation**
 - Complete issues deposited in PMC
 - Access delay: 0 to 12+ months
 - No additional effort required from the author
- See http://publicaccess.nih.gov/submit_process_journals.htm for a list of these journals
- At present, this represents approximately 400 journals – two-thirds published by PLoS, BiomedCentral, and Hidawi – Open Access Publishers



Method B

- **NIH Portfolio Agreement**
- Some journals automatically deposit all NIH-funded final published articles; access within 12 months of publication
- May include other articles (e.g. Wellcome-funded) with different access terms
- See the list of these journals at http://publicaccess.nih.gov/submit_process_journals.htm



Method C

- **Selective Deposit**
- Publishers' OA hybrid programs:
 - Oxford Open
 - Springer Open Choice
 - Taylor & Francis *iOpenAccess*
 - Wiley-Blackwell Online Open
- Society journals depositing just a few articles, e.g., Wellcome-funded articles from Society for Endocrinology (UK)
- See the list of publishers at http://publicaccess.nih.gov/select_deposit_publishers.htm



Method D

- Submitting a [final peer-reviewed manuscript](#) to PubMed Central (PMC) via the [NIHMS](#) involves three tasks
 - *Task 1: Deposit Manuscript Files and Link to NIH Funding*
 - *Task 2: Authorize NIH to Process the Manuscript*
 - *Task 3: Approve the PMC-formatted Manuscript for Public Display*



Method E

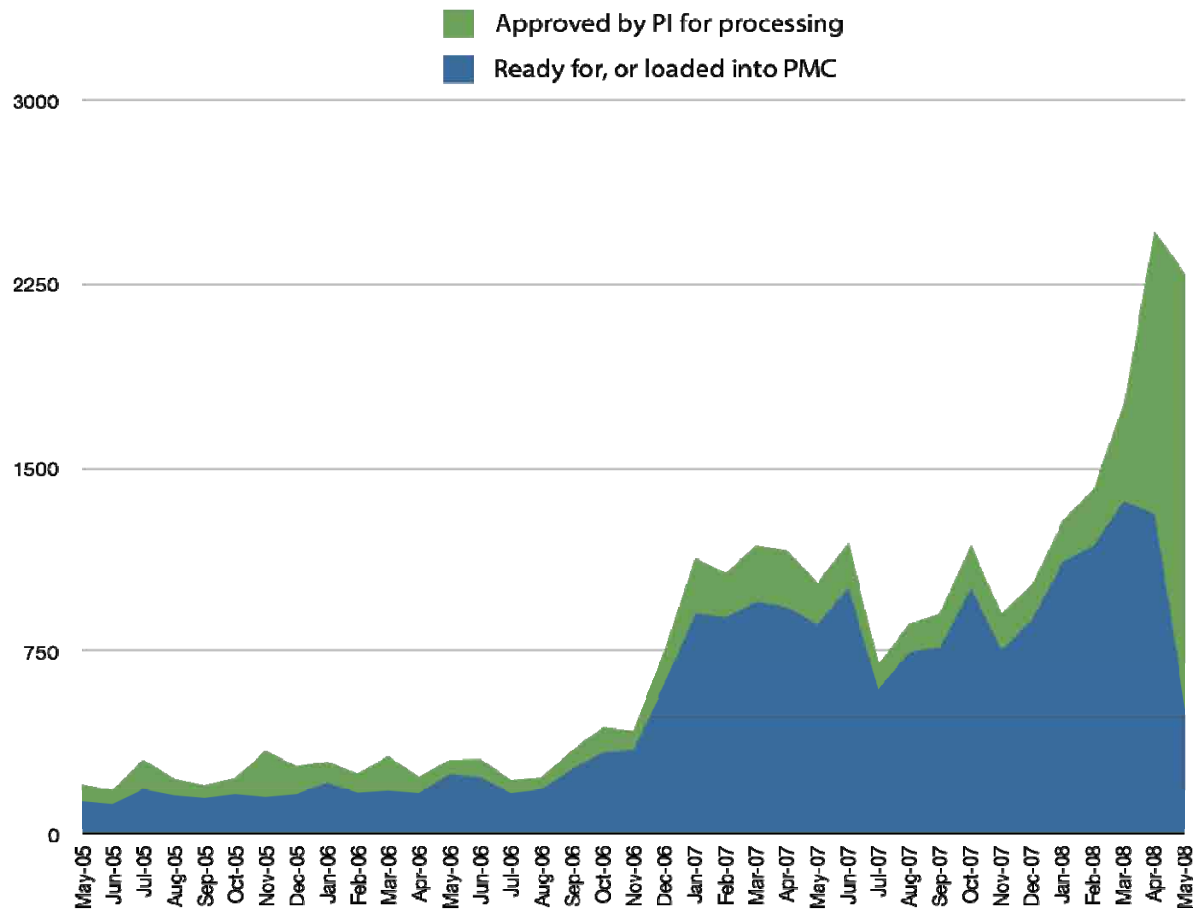
- In a variation of Method D, some publishers deposit the manuscript files in the NIHMS for an author and designate the number of months after publication when the paper may be made publicly available in PMC.
- The NIHMS will notify the author when the manuscript files are received from the publisher. At that point, the author must complete tasks 2 and 3 outlined for Method D.



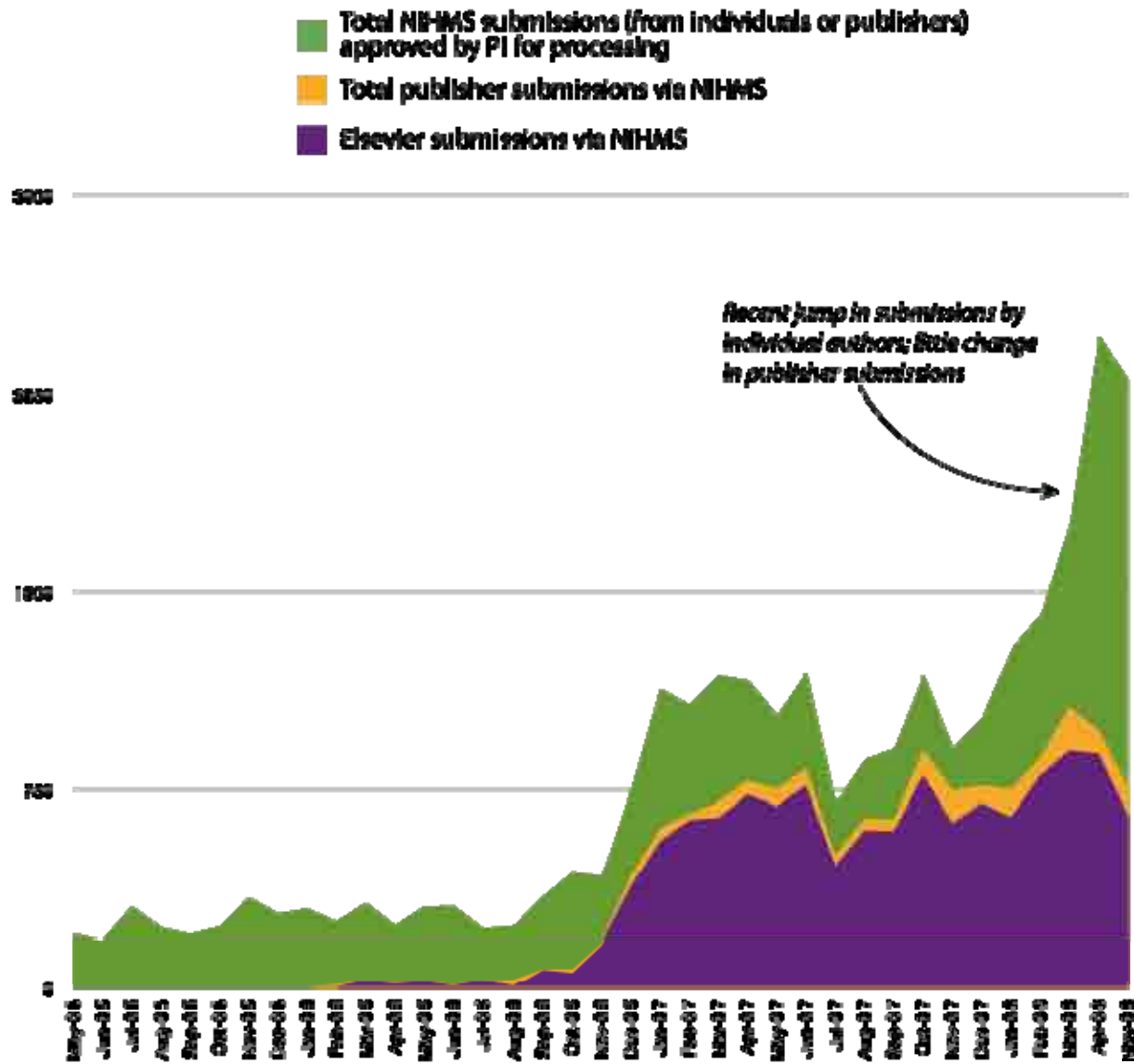
Method E – Current Publishers

- Elsevier
- Taylor & Francis
- Nature Publishing Group
- American Psychological Association

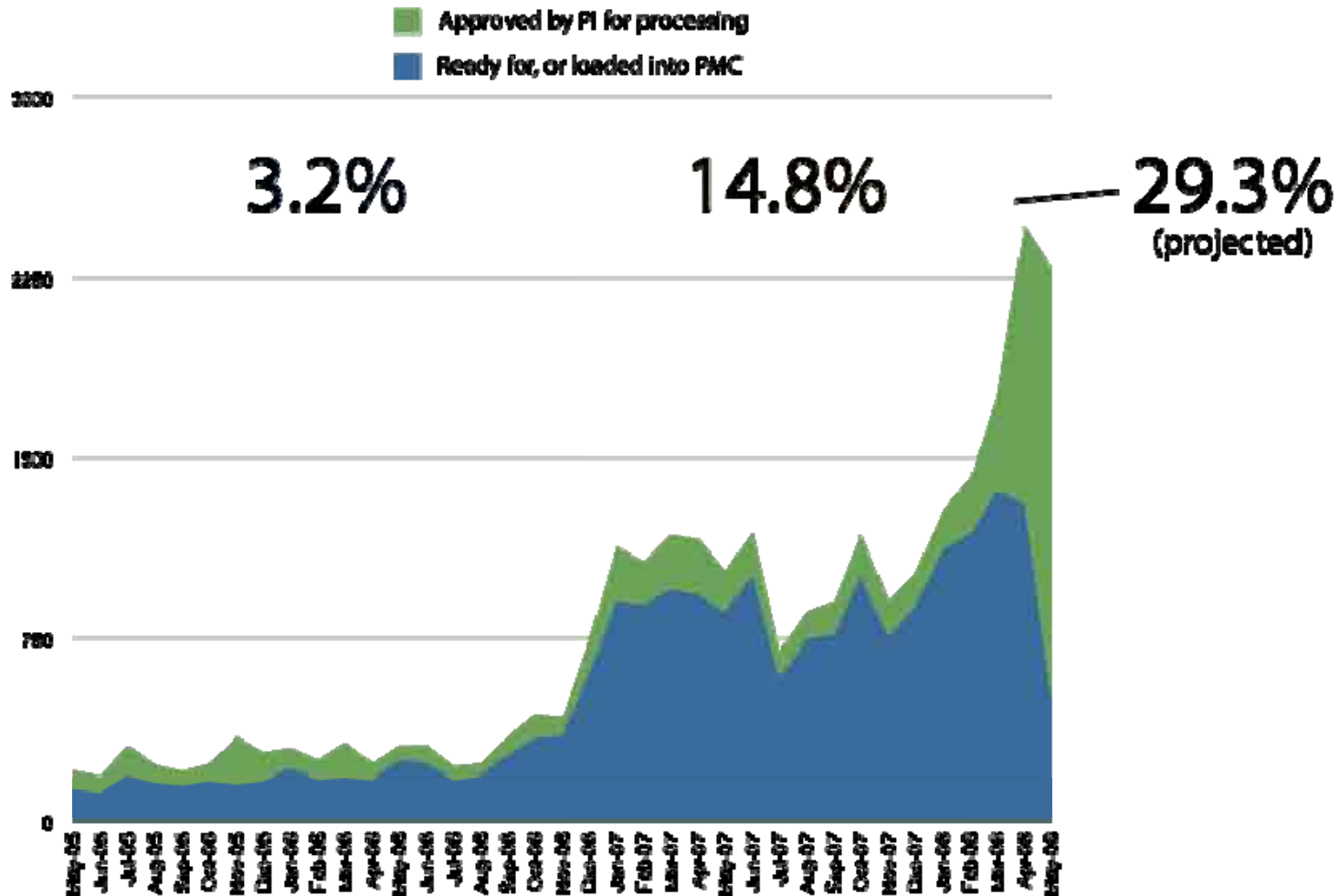
NIHMS Manuscript Submission Trends



Publisher vs Individual Submissions via NIHMS

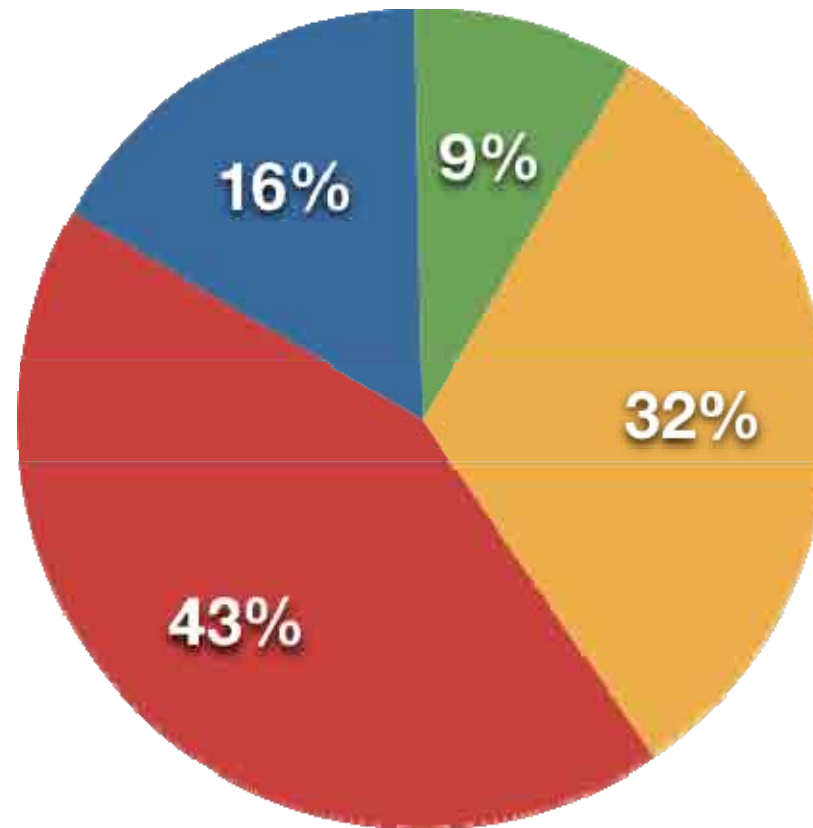


NIHMS Manuscripts – Compliance Trends



Compliance percent is the number "ready for, or loaded into PMC" relative to estimated total for full compliance. The projection for the third period is based on net rate of completion (blue vs green) in earlier periods.

PMC Public Access Projections



- **Articles from PMC journals, excluding NIH Portfolio journals**
- **Total projected articles from journals that have signed NIH Portfolio agreements**
- **Manuscripts – estimate based on earlier net rate of completion, actual submissions in April/May 2008, and additional submissions expected from Wiley**
- **Remaining articles (estimated) that should be deposited under the NIH policy**



NIH Portfolio Agreement

- Outgrowth of DC Principles Coalition Linking Proposal
- Refused by NIH, but agreed to respect embargo periods if publishers deposited final published article
- Coalition asked for IP address utilization data
- NIH refused, but agreed to link to PDF on journal website
- July 2006 - Prepared to endorse and encourage Coalition publishers to participate when NIH introduced a new requirement related to PMCi



PMC International

- **PMC participation agreements before July 2006**
 - No PMCi in original agreement
 - Journals then given option to approve UKPMC and other sites
 - Many gave approval; some did not
- **Agreements from July 2006 to Jan 2008**
 - Journals automatically approved any PMCi site chosen by NLM



PMCi – current policy

- **February 2008**
- For new agreements: journal automatically approves PMCi sites “authorized” at time of signing (only UKPMC now)
- All existing agreements “reduced” to just UKPMC
- “Early refusers” stay the same – no approval given
- NLM must request approval from all journals when it authorizes a new PMCi site



Requirements of Other Funding Agencies

- **Wellcome Trust** – requires deposit into UKPMC six months after publication, willing to pay OA fees for immediate access
- **Research Councils UK (RCUK)** – requests 6 months, consistent with publishers' policies, in general no funds set-aside
 - UK Medical Research Council (MRC) facilitates use of agency funds for public access
- **HHMI** – required deposit in PMC, 6 months, funds available for OA fees
- **Canadian Institute of Health Research** - policy states publications must be made freely accessible “*where allowable and in accordance with publisher policies.*”
- **Agence Nationale de la Recherche in France** – requests rather than mandates that authors submit their articles for public access
- **British Heart Foundation** – provides funds to make the articles free for public access after 6 months
- **Arthritis Research Campaign (UK)** – provides funds to make the articles free for public access after 6 months



- Thank you
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