

HRA Public Access Initiative

A Step-by-Step Compliance Guide for Awardees

PREFACE

The funder that provided your award is a member of the Health Research Alliance (HRA, www.healthra.org), a national consortium of non-governmental, not-for-profit funders of biomedical research and training. HRA has made arrangements so that PubMedCentral will accept deposits of manuscripts and publications resulting from research funded by HRA member organizations. Your funder has elected to use these HRA arrangements, which are provided through HRA's grants database, Grants in the Health Research Alliance Shared Portfolio (gHRAsp), which is managed by Innolyst. To meet your funder's public access requirement, you should follow the steps below:

Step 1: Immediately Upon Notification by Your Funder

When your funder notifies you that the information about your grant has been added to the HRA database (gHRAsp), go to the HRA Authentication Portal at the specific link provided by your funder, and log in using your Gmail account (____@gmail.com). gHRAsp (for Grants in the Health Research Alliance Shared Portfolio) is a database of awards made by philanthropies that are members of the Health Research Alliance. When you have logged in, search within gHRAsp for grants you have received from your funding organization that is a member of HRA. Click on your grant(s) to link those to your Gmail account. This will allow gHRAsp to transmit your grant identification information to PubMed Central so that you can link future manuscripts resulting from this award to the correct grant when depositing manuscripts to PubMed Central. *Please note: You must allow 24 hours between completing this step and attempting to submit your manuscript to PubMedCentral.*

If you do not have a Gmail account, it is easy to create one at <https://accounts.google.com/SignUp?service=mail>.

Step 2: Submitting Your Manuscript to a Journal for Review

Grant recipients should endeavor to make publishers aware of the access conditions associated with their funded research at the earliest possible juncture. The following letter may be included during the manuscript submission process for these purposes. This notification should *not* influence acceptance of your article by any reputable journal.

Dear [Editor Name],

Enclosed is a manuscript to be considered for publication in _____
[Journal Name]. **FUNDER NAME** has provided funding for the research

reported in this manuscript and therefore its publication must comply with the **FUNDER'S** "Policy on Public Access to Published Research" ([\[URL link to policy\]](#)).

In order to ensure compliance with the funder's policy I, as corresponding author on behalf of all the authors, am retaining the rights to:

- Provide a copy of the final manuscript, including all modifications from the publishing and peer review process, to the National Institutes of Health's PubMed Central (PMC) database at the time the manuscript is accepted for publication; and
- To authorize the National Institutes of Health to make such copy of the manuscript available in digital form for public access in PMC no later than 12 months after publication.

By accepting this manuscript for review, _____ [Publisher Name] accepts these terms and agrees that the terms of this agreement are paramount and supersede any provisions in any publication agreement for this article, already signed or to be signed at a later date that may conflict.

(Signature of corresponding author on behalf of all authors)

Note that grant recipients should keep a copy of this cover letter in the event of a future copyright dispute.

Step 3: Codifying Access Rights within the Publication Agreement

Grant recipients should ensure that the publication agreements they sign upon a journal's acceptance of the manuscript is consistent with their funder's access policy. The terms of such agreements vary widely from publisher to publisher.

If the agreement does not provide for your right to make the article publicly available in PubMed Central no later than 12 months after the official date of publication, you will need to adapt it. The following is an example of the kind of language you can add to a publication agreement:

*"As an author whose research is funded in part or in whole by **FUNDER**, I am obligated as a condition of my grant to reserve certain rights. The Journal therefore acknowledges that Author retains the right to provide a copy of the*

authors' final manuscript, including all modifications from the publishing and peer review process, to PubMed Central at the NIH upon acceptance for Journal publication for public archiving as soon as possible but no later than 12 months after publication by Journal. _____ [Publisher Name] accepts these terms and agrees that the terms of this agreement are paramount and supersede any provisions to the contrary any publication agreement for this article, already signed or to be signed at a later date that may conflict."

This can be appended to the end of the publication agreement and returned to the publisher. In the unlikely event the journal balks at accepting a modification of their standard agreement, you should reiterate the conditions of your funding and remind them that the requirement is similar to that of the National Institutes of Health, Howard Hughes Medical Institute, and other funders. There is no evidence of financial or other material harm to publishers as a result of embargoed free public access to research articles. If the publisher still balks, please contact your funder for assistance.

Note that grant recipients should keep a copy of any publication agreement modifications in the event of a future copyright dispute. Your funder may require that you submit the final Publication Agreement as part of your routine progress reporting.

Submitting the SPARC Author Addendum (<http://www.arl.org/sparc/author/>) with the publication agreement is another option that reserves the author's right to publicly display the article in any medium for non-commercial purposes.

Step 4: Depositing Your Paper to PubMedCentral

Once your paper is published, a copy of the authors' final manuscript, including all modifications from the publishing and peer review process, must be deposited into PubMed Central. There are four possible methods to submit an article to PubMed Central in compliance with this policy.

Note: In addition to linking your grant in the gHRAsp database as described in Step 1 above, if the journal in which you are publishing deposits a paper on your behalf directly to PubMed Central under methods A or B below, you will still need to associate your grant with the manuscript using My NCBI (<http://www.ncbi.nlm.nih.gov/sites/myncbi/>). Use the Google sign-in option using the Gmail address you used when you logged into gHRAsp to identify your grant(s). Once you are signed in, search for the article citation in PubMed and add it to your My Bibliography account (http://www.ncbi.nlm.nih.gov/books/NBK53595/#mybibliography.Creating_a_Bibliography). You may then associate your HRA funding to citations in My Bibliography by choosing the "Award" view option in the "Display settings" menu. Use the "Add award"

hyperlink next to the appropriate citation to link the grant (see http://www.ncbi.nlm.nih.gov/books/NBK53595/#mybibliography.Associating_NIH_Awards_to_).

Under methods C and D described below, you will link the publication to the grant using the NIH Manuscript Submission System.

- A. Automatic Deposit by Publisher:** Currently, more than 1,000 journals automatically deposit all articles to PMC after an embargo period, at no charge to the author. The only action required of you is to associate your grant with the manuscript using My NCBI (<http://www.ncbi.nlm.nih.gov/sites/myncbi/>). You can find a link to an updated list of these journals at <http://www.healthra.org/resources/publicaccess.html>.
- B. Publisher Requested Deposit:** Some publishers will deposit an individual final published article in PubMed Central upon author request, generally for a fee. Check to see whether your funder permits its grant funds to be used for such payments. (Please refer to the note above re: linking your publication to the funding source using “My NCBI.”)
- C. Author Deposit:** Immediately upon acceptance for publication, provided you have already followed Step 1 above, you can deposit the paper directly to PubMed Central via the **NIH Manuscript Submission System/NIHMS** (<http://www.nihms.nih.gov>) using your Gmail account. This process usually takes less than 10 minutes. During this process, you will be asked to designate the number of months after publication when the manuscript may be made publicly available in PubMed Central, and you should list the lesser of the embargo period of the journal in which you are publishing or your funder’s requirements. You will be asked to confirm 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 PubMed Central. The NIHMS will convert the deposited files into a standard PubMed Central format, and email you to approve the PubMed Central-formatted manuscript for public display. You then review and approve the PubMed Central-formatted manuscript via the NIHMS. Corrections to the manuscript, if necessary, may be requested at this time. Upon completion, PubMed Central will automatically make the paper publicly available after the designated delay period has expired. **Note: You must have completed Step 1 above (registering with your Gmail account via the HRA Authentication Portal on gHRAsp) before depositing your manuscript using NIHMS. Please allow 24 hours between completing Step 1 and attempting to deposit your manuscript to NIHMS.**
- D. Publisher Deposit with Author Follow-up:** In a variation of Method C above, 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 PubMed Central. The NIHMS will notify the corresponding author when the manuscript

files are received from the publisher. At that point, you must link the paper to your grant, authorize NIH to process the manuscript and review and approve the PubMed Central-formatted manuscript via the NIHMS. Corrections to the manuscript, if necessary, may be requested at this time. Upon completion, PubMed Central will automatically make the paper publicly available after the designated delay.

Step 5: Demonstrating Compliance

The first step in demonstrating compliance is to create the tangible link between your grant, the gHRAsp database, and PubMed Central via the four steps outlined immediately above. This will allow your funder to track compliance using their internal reporting tools. Beyond this, you should acknowledge your funder's support by including the organization's name and the grant number in every article arising from such funding. You can demonstrate compliance with your funder's access policy by providing the organization – at the earliest possible convenience – with the NIH Manuscript Submission ID (NIHMSID) assigned upon submission or the PubMed Central (PMC) reference number (e.g., PMC234567) for each paper that falls under the policy. The PMC ID is posted in PubMed as soon as an article has been successfully processed by PMC, which usually occurs around the time of publication. PMC IDs are listed in the lower right corner of the AbstractPlus view of PubMed ((<http://www.ncbi.nlm.nih.gov/PubMed>) For more detail visit http://publicaccess.nih.gov/citation_methods.htm#locating .)

You may also create links between your grant and PubMed citations using My Bibliography, a component of the free My NCBI service. Log into My NCBI using your registered Gmail account. Doing so will allow you to track all of your manuscripts submitted to NIHMS and to create new grant associations as necessary. My Bibliography is a handy tool that gives you a bird's-eye view into your citations and compliance with the policy. More details on My Bibliography can be found at <http://www.ncbi.nlm.nih.gov/books/NBK53595/> , the online help manual for My NCBI.