



Implementing a Public Access Policy: A Guide for HRA Member Organizations

To assist HRA member organizations wishing to adopt a public access policy, the HRA Public Access Task Group partnered with the National Library of Medicine (NLM) to enable HRA member-funded awardees/grantees* to deposit their publications into PubMed Central (PMC). (<http://www.ncbi.nlm.nih.gov/pmc/>). Only HRA Member Organizations are able to use the HRA/NLM Infrastructure.

PMC is a publicly-available archive which provides public access to full-text scientific literature in the biomedical and life sciences. HRA-funded awardees are able to comply with their funders' public access policies by depositing their publications for public access into PubMed Central immediately upon acceptance, with an embargo no longer than 12 months. The article will appear in PMC according to the embargo specified at the time of deposit. This partnership also enables awardees to link publications to awards/grants from the HRA member organizations, allowing funders to easily see publications resulting from their support.

The first step is to utilize resources provided by HRA and work with your organization's leadership to develop and release a public announcement of the adoption of a public access policy (*see pages 3-6 of this guide and also www.healthra.org/resources/public-access/*). A policy template is provided (*see page 3*), which includes language to acknowledge your use of the HRA/NLM arrangement in your announcement. Once your organization has adopted the policy, HRA will work with the organization and the NLM to follow the steps below enabling HRA member-funded awardees to deposit their publications into PMC, and to link those publications to HRA member-funded awards. Note that the access policy applies to any manuscript that arises from any amount of direct funding from the HRA funding agency with a public access policy requirement.

Steps for HRA Member Organizations:

1. Complete and submit the HRA Public Access Participation Form (*see page 4*).

This form identifies your organization's Public Access Contact, documents your organization's adoption of a public access policy, and gives a sense of the volume of awards you will be inputting in the PMC system. *Importantly*, this form will establish the effective date of implementation of the policy and awards to which the policy will apply. Generally, HRA members require awardees to deposit publications only after policy implementation. However, organizations *may* require awardees (or awardees may request) to deposit manuscripts published before the implementation of the policy. Since the awards listed in the PMC database are exported to the NLM from the HRA database, it is critical that (1) those records are in the HRA database, and (2) HRA staff know exactly which records to export from the database to the NLM. The completed HRA Public Access Participation Form should be sent to Annette Huetter at Annette@HealthRA.org.

2. Import your awardees into the HRA's Awardee database.

An export from the HRA Awardee database to the NLM team is how PMC is populated with the awardees' names and award information so they are able to use the PMC system. As soon as possible after awards are made, work with HRA staff to populate the HRA database with your award information. (The subsequent export to PMC takes at least a day.) Again, your organization must be explicit about which awards are to be subject to the policy, so those awards are exported from the HRA database into PMC. This is especially critical if the policy is being implemented retroactively or if an awardee requests to link publications to awards not formally subject to the policy. Please note, if the award is not exported from HRA's database to the NLM team, your awardee will not even see the award in PMC, thus will not be able to link publications to this award.

3. Send your awardees the instructions for using the NLM PMC system.

Once awardee data is in PMC, researchers can then follow the instructions (*see page 6*) on how to comply with the public access policy. To comply, researchers will need to first log into an HRA portal, where he/she will be presented with a list of HRA-member awards to which their subsequent manuscripts should be linked during the manuscript submission process.

Important considerations

As your organization adopts the HRA public access policy, remember to:

- Change your award programs' Terms and Conditions to reflect the new public access policy.
- Include information about the new public access policy in your organization's requests for applications and other funding announcements.
- Provide your awardees information and resources on copyright and related public access issues. (SPARC developed a comprehensive guide for researchers which can be downloaded at:

<http://sparcopen.org/wp-content/uploads/2016/01/SPARC-Author-Rights-Brochure-2006.pdf>

Additional Information:

Much more detailed information and additional resources can be found on the HRA website at www.healthra.org/resources/public-access/ and in the [FAQ's](#) on the website. If you have questions please email Maryrose Franko, Executive Director of the Health Research Alliance at Maryrose@healthra.org.

**The terms "awardee" and "grantee" both refer to individuals receiving funding from an HRA Member organization and are used interchangeably in this guide.*



HRA Member Public Access Policy Template

The following is a template developed by the HRA Public Access Task Group in conjunction with the Scholarly Publishing and Academic Resources Coalition (SPARC) that can be used by organizations seeking to implement public access policies as a condition of award funding. This template is based on the policy developed by HRA member organization, Autism Speaks.

Select one of the two opening paragraphs below, A or B, to customize for your organization.

(A) [Organization X] funds biomedical research in order to better understand the causes of [disease name] and to advance its prevention, treatment, and cure. The main output of this research is new knowledge. To ensure this knowledge can be accessed, read, applied, and built upon in fulfillment of our goals, [name of foundation or organization] expects its researchers to publish their findings in peer-reviewed journals.

or

(B) [Organization X] funds biomedical research to contribute to the acquisition of knowledge that can ultimately improve human health. To ensure this knowledge can be accessed, read, applied and built upon in fulfillment of that goal, [Organization X] expects its researchers to publish their findings in peer-reviewed journals.

In addition, it is a condition of [Organization X] funding that all peer-reviewed articles supported in whole or in part by its awards must be made available in the PubMed Central online archive in accordance with the following conditions:

- Authors are to deposit an electronic copy of their final peer-reviewed manuscripts in PubMed Central immediately upon acceptance for journal publication. The NIH Manuscript Submission System (NIHMS) User's Guide to Submitting a Manuscript can be downloaded here: <http://www.ncbi.nlm.nih.gov/books/NBK3846>
- The manuscript is to be made publicly available in PubMed Central no later than 12 months after the official date of journal publication. This requirement applies to all [Organization X] grants awarded after ____ [organization specifies date].

PubMed Central is a database of full-text biomedical journal articles available online without a fee. It is hosted by the National Library of Medicine in the National Institutes of Health. Once posted in PubMed Central, results of research become more accessible, prominent, and integrated within the context of other research findings, making it easier for scientists worldwide to pursue [specific disease name or "biomedical"] research. Equally important, families, clinicians, patients, educators, funders, and students reap the benefits of information arising from funding by accessing publications on PubMed Central at no charge.

An author must acknowledge [Organization X] support in every article arising from such funding. The acknowledgement statement must include the applicable [Organization X] grant number. This will enable [Organization X] to link the published outputs of research to the support it has provided.

[Organization X] 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 partnered with the National Library of Medicine so that PubMedCentral will accept deposits of manuscripts and publications resulting from research funded by HRA member organizations. We thank HRA for partnering with the NLM to facilitate implementation of members' public access policies.



HRA Member Public Access Participation Request Form

In order to participate in the public access arrangements that the Health Research Alliance has made with the National Library of Medicine you must complete and return this request form to HRA. Please return by email to annette@healthra.org. You will receive a confirmation and instructions from HRA when your participation request form has been processed.

<i>Organization Name:</i>	
<i>Name and email address of person completing this form:</i>	
<i>Earliest date (month and year) your organization wishes to begin participating in HRA's public access arrangements:</i>	
<i>Date your organization's public access policy was adopted (or date you anticipate your organization's public access policy will be adopted):</i>	
<i>Effective date of your organization's public access policy:</i>	
<i>URL for your organization's public access policy (or submit a copy of your organization's policy with this form)</i>	
<p><i>Please give a very rough estimate for these questions to assist the NLM in planning resources for this effort:</i></p>	<p><input type="text"/> <i>Average # grants your organization has active at any one time</i></p> <p><input type="text"/> <i>Average # new grants your organization makes each year</i></p> <p><input type="text"/> <i>Average # manuscripts you estimate are published each year related to your organization's awards</i></p> <p><input type="text"/> <i>Number of manuscripts above you estimate are co-funded by NIH</i></p>
<i>Please enter to the right your organization's name exactly as it should appear in NLM databases:</i>	
<i>NLM also needs acronyms for all funders for internal use. Please list an acceptable acronym (up to 6 characters) for your organization:</i>	
<i>Please list the format of your organization's grant ID numbers (alpha vs. numeric, number of characters, etc.) and provide an example:</i>	

<p><i>Please list your organization's expected grant cycles over the next 12 months, including approximate announcement dates and the name of the program(s) to be announced on each date:</i></p>	
<p><i>Please complete the sections below regarding your organization's designated public access contact person:</i></p>	<p><i>NOTE: The designated public access contact person is the person HRA will correspond with regarding public access program details, and is also the person to whom HRA will refer your awardees who have questions.</i></p>
<p><i>Name of designated public access contact person:</i></p>	
<p><i>Title of designated public access contact person:</i></p>	
<p><i>Email of designated public access contact person:</i></p>	
<p><i>Telephone # for designated public access contact person:</i></p>	

“By submitting this form to the HRA, I understand that in order to participate in HRA’s public access arrangements, my organization must send the required data for each grant to the HRA’s awardee database upon the completion of each award cycle.”

Printed or typed name

Date

Title



Public Access Policy Compliance Guide

For Awardees of HRA Member Organizations

The Health Research Alliance (HRA, www.healthra.org) is a national consortium of non-governmental, not-for-profit funders of biomedical research and training. You are receiving these instructions because your funding agency is a member of the HRA and has a public access policy that requires deposit of final manuscripts accepted for publication, derived from the award, in the National Library of Medicine's (NLM) repository, PubMed Central (PMC). PMC only accepts manuscript deposits from partner organizations. The HRA is one such partner, enabling awardees of your funder to deposit final accepted manuscripts into the PMC repository for public access. The terms of publication access policies for HRA members are specific to each funding organization and are delineated in the terms of the award.

These instructions assume that awardees have reserved all author rights necessary to comply with the funder's public access policy when signing their publication agreements with publishers. For guidance on how to notify publishers of your award requirements and codify access rights when submitting a manuscript for review, check our [FAQs](#).

1. To comply with your funder's public access policy, follow the steps below. This will take at least 24 hrs to complete. Log into the [HRA](#) portal with your Gmail credentials. If you do not already have one, [create](#) a Gmail account first.
2. Find your award, and check the boxes next to the awards that you want to attach to your Gmail account. Click 'Save My Grants' to attach selected grants to your account. After completing this step, wait at least 24h.
 - If you do not find your award, get in touch with the point of contact at the funding agency for that award.
 - We recommend that you check the terms of each award before attaching them to your Gmail account. While you may wish to retroactively enable public access to publications linked to previous awards, this may not be possible unless that is a requirement for those awards. For retroactive compliance, get in touch with the point of contact at the funding agency for those past awards.
3. If the publisher does not deposit publications to PMC, follow [these instructions](#) to use the NIH Manuscript Submission system (NIHMS) to deposit your manuscript. Otherwise skip to the next step, which **must be completed by all awardees**, regardless of whether or not the publisher deposits publications into PMC.
4. Log into [NCBI](#) with Gmail credentials (**not** eRA Commons credentials).
5. Associate the Gmail account with an existing NCBI account. All individuals with an eRA Commons account already have NCBI accounts and should choose the second option shown below.

Signed in to NCBI via a Partner Organization

Congratulations, you have successfully signed in to NCBI via a partner sign in route. You now have the option to create a new NCBI account based on this sign in route OR link it to an existing NCBI account you may already have.

Please choose one of the following options:

Create a new NCBI account

Link to an existing NCBI account NCBI accounts may be linked to one or more partner sign in accounts. Use this option to link this sign in route to an existing NCBI account that you may already have.

NCBI Username:

NCBI Password:

[Forgot NCBI username or password?](#)

6. In the main page of your NCBI account, follow the link to "Manage my Bibliography" and associate each publication with the funding agency award. Your HRA member award should be listed under the "HRA awards" tab. See our [FAQs](#) if you do not see the HRA awards tab. **You must link your publications to your funding, even if the publisher deposits publications in PMC for you.**

Do you need help?

Please check our [FAQs](#) first. If you need further help, first get in touch with the point of contact for your award. Questions regarding linking accounts may be directed to info@ncbi.nlm.nih.gov. Questions regarding manuscript submissions may be directed to nihms-help@ncbi.nlm.nih.gov.