HRA Open User Guide for Awardees

HRA Open is an web-based service sponsored by the Health Research Alliance (HRA) that promotes open access by linking your award information with PubMed Central so you can deposit peer-reviewed publications. It goes one step further by providing an additional space to upload and share other materials related to your project, including figures, datasets, preprints, presentations, and other research outputs. One of the benefits of being an awardee of a member of the HRA is access to ***HRA Open*****.**

To begin, follow the steps below to create an ***HRA Open*** profile and link your awards. This linkage is critical. Only when you have linked your awards can your information be sent to the National Library of Medicine (NLM). Once your information is sent to the NLM, publications from your award can then be identified through your My NCBI account and be deposited into the NIH Manuscript Submission System for inclusion into PubMed Central. Thanks to a partnership between NLM and HRA, NLM accepts manuscript deposits from awards made by HRA member organizations with publication access policies.

AT THE TIME YOUR GRANT IS AWARDED

1. Create an *HRA Open* Profile

Shortly after you receive notice of your award, your funder will send you an email notification that your award information has been added to HRA's awardee database, known as HRA Reporter. **The only way to sign up to the *HRA Open* portal is via the unique link sent in this email**. If you have not received an email from your funder by the time of publication, please contact them directly. Please note the invitation may go to Clutter, Spam or Junk folders. The link should take you to the screen below and invite you to connect funding and submit data to ***HRA Open.***

- **For users with a My NCBI account:** If you already have a My NCBI account and have linked a Google account to it, link the same Google account to ***HRA Open*** as used in your My NCBI profile.

- **For users without a My NCBI account:** If you are new to My NCBI and ***HRA Open***, you do not have to use the same email address where the invitation was sent. You also do not have to use a Google account. However, you will need to follow the instructions below to link a Google account before you can link grants to your profile.

After your initial login, you can return to ***HRA Open*** using these details at http://hraopen.healthra.org.

2. Link Awards to Your Profile

1) Use the search and filters to find your awards.
   You can search by project title, award code (aka award ID or grant number), or principal investigator.
2) Clicking 'Link award' will load the award details page and allow you to confirm identification. It is highly recommended that you check the details of each award before attaching them to your account.
3) Once you have identified your correct award, click the ‘'Confirm & link' button at the bottom to have the award linked to your profile.

Note: Once you link an award to your profile, only the funder can unlink it. Please contact the funder if you need them to unlink an award from your profile. Once awards are linked to your profile, they will display at the top of your profile page.

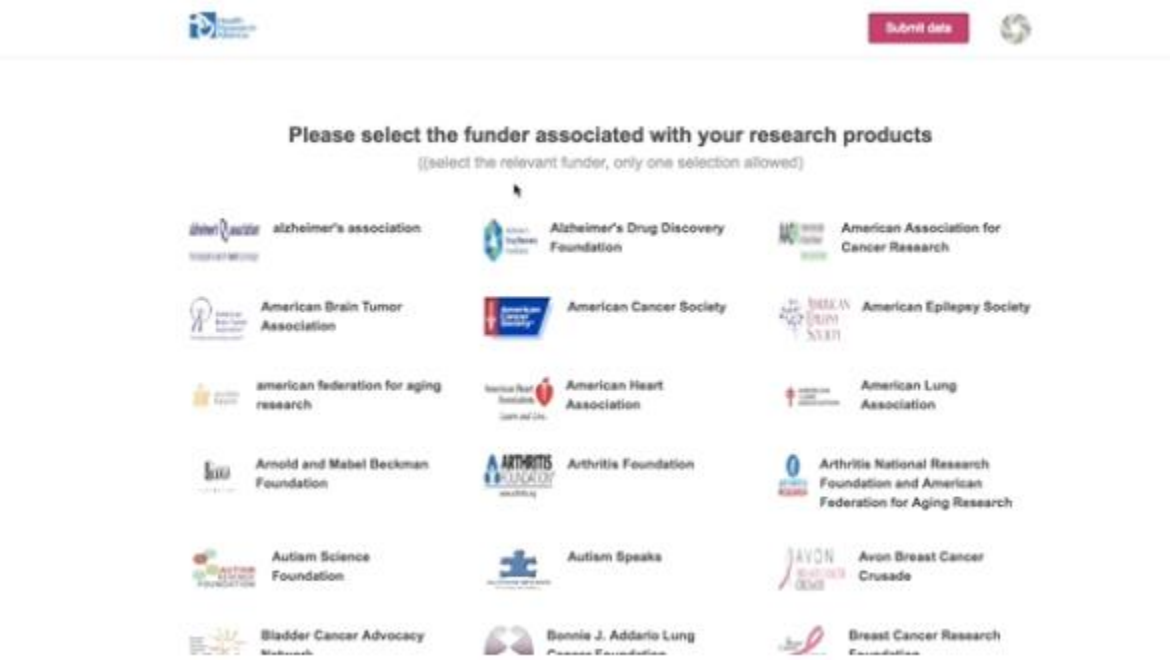
Since your funder is an HRA member organization who has registered with NLM to accept awardee publications for deposit into PMC, these links will be automatically sent to NLM to populate your My NCBI profile. Publications should be visible in your profile about a day after the link is made. While you may wish to retroactively enable access to publications linked to previous awards, this may not be possible unless that is a requirement for those awards. For retroactive compliance, please contact your funder’s point of contact for those past awards.

SUBMITTING RESEARCH PRODUCTS DURING THE GRANT TERM

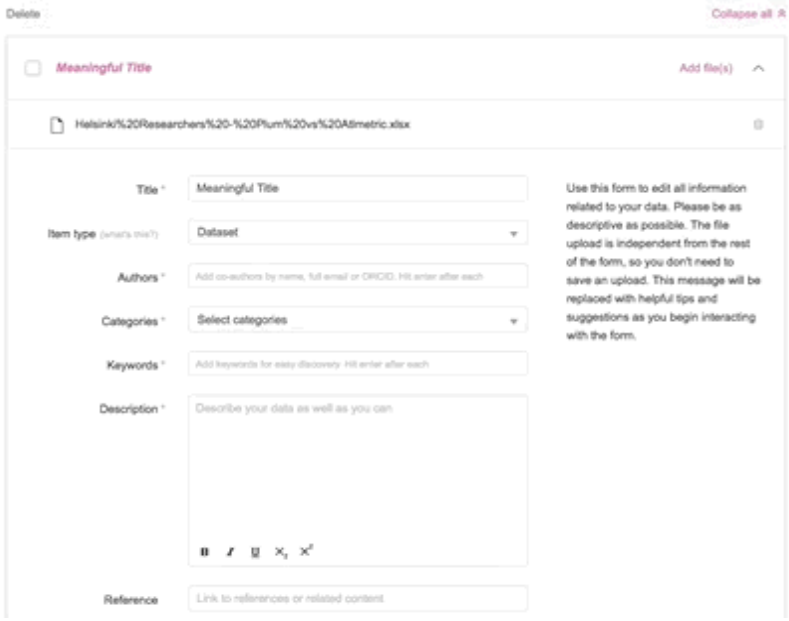
1. SUBMITTING RESEARCH PRODUCTS *(not via PubMedCentral)*

Use ***HRA Open*** to submit research products that have resulted from your awards. For example: datasets, images, charts, graphs, videos, code, presentations, posters, preprints, etc. You may also upload supporting materials (e.g. data sets) for publications previously made public and include a URL for the location of the existing publication (e.g. link to publisher's website) as a reference. This feature is particularly useful if your funder has a data sharing policy. Research products may be uploaded in the original file format without needing to convert to a PDF, Word, Excel, etc. Please note that your funder may have specific guidelines or requirements as to what you should or are required to make public. Please refer to the funder's award agreement or contact them directly if you have questions.

1) Choose the funder who supported the research product and upload files:

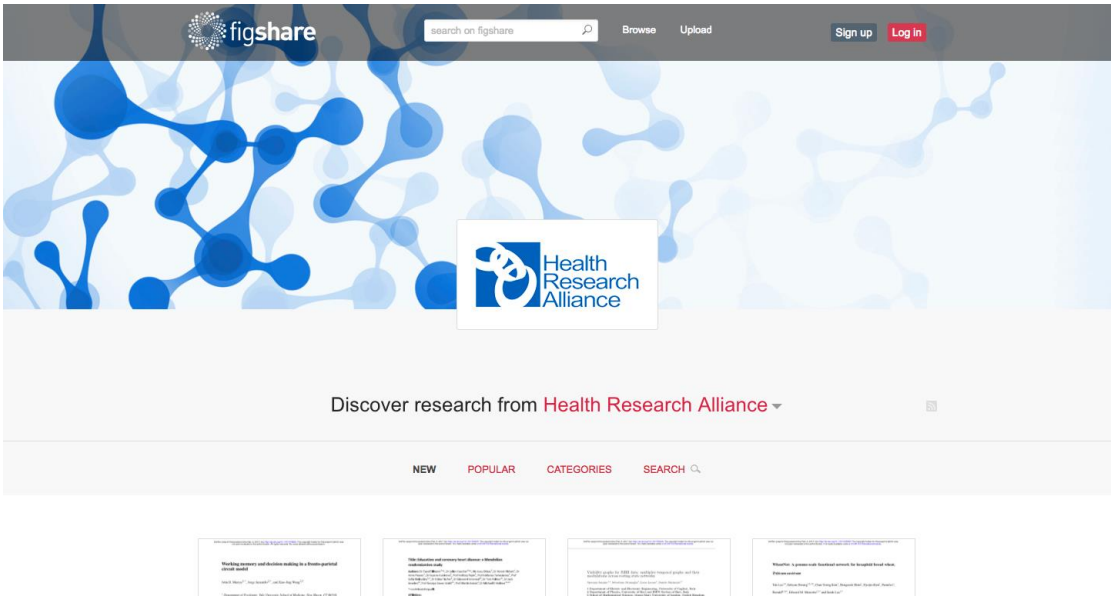


2) Fill in the form to provide meaningful metadata to your submission:



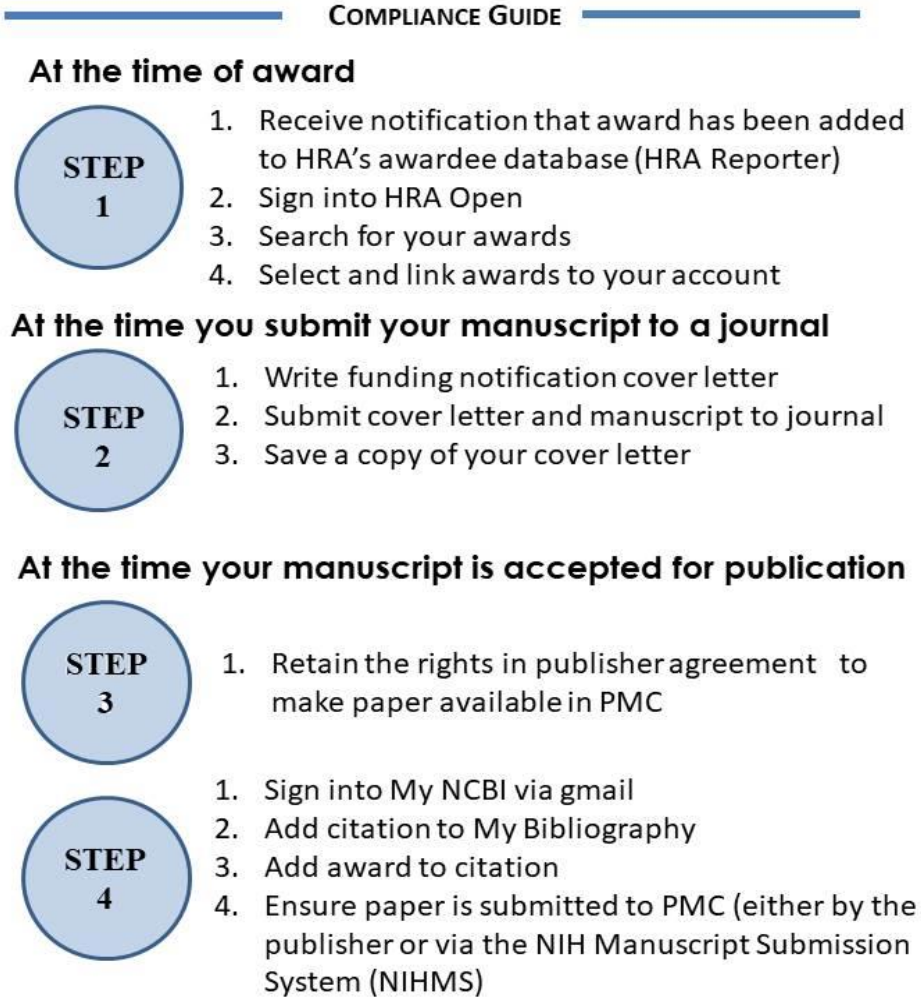
Your submission is sent to your funder for review and approval before posting. They may contact you for further information, or publish your submission immediately depending on their policy.

All public submissions can be found on http://hra.figshare.com. Click 'Discover research from Health Research Alliance' to filter by funder.



2. DEPOSITING YOUR PUBLICATIONS TO PUBMED CENTRAL *(if required)*

The flowchart below provides an overview of the steps needed to achieve compliance with your funder ***if they require you to submit your paper to PMC***. **Step 1** instructions were provided above. More detailed instructions as well as screenshots for subsequent steps can be found from the NCBI website at: https://www.ncbi.nlm.nih.gov/pmc/about/submission-methods/



Please note that ***HRA Open*** cannot itself be used to deposit of publications into PubMed Central. However, linking your awards in ***HRA Open*** is a requirement to subsequently deposit award publications into PMC and is covered in **Step 1** instructions above. Once you go through Steps 2 & 3 with your publisher to submit your paper to PMC, you will then be ready for Step 4.

Once you have registered a Google account at ***HRA Open***, (Step 1 above) follow the steps below to deposit an HRA member-funded publication into PMC and identify it as such via My NCBI.

At the time you submit your manuscript to a journal

1. Write funding notification cover letter
2. Submit cover letter and manuscript to journal
3. Save a copy of your cover letter

Awardees 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 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.

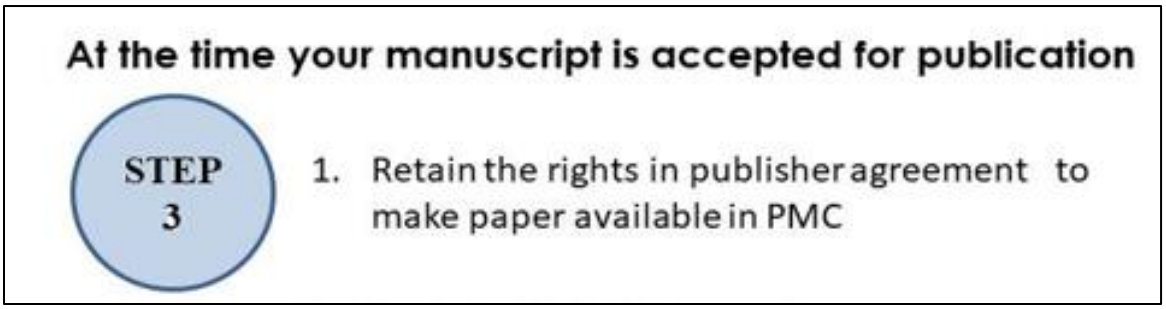
By accepting this manuscript for review, _____ [Publisher Name] accepts these terms and agrees that the terms of this agreement are paramount and supersede

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 awardees should keep a copy of this cover letter in the event of a future copyright dispute.



Awardees should ensure that the publication agreements they sign upon a journal's acceptance of the manuscript is consistent with your 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:

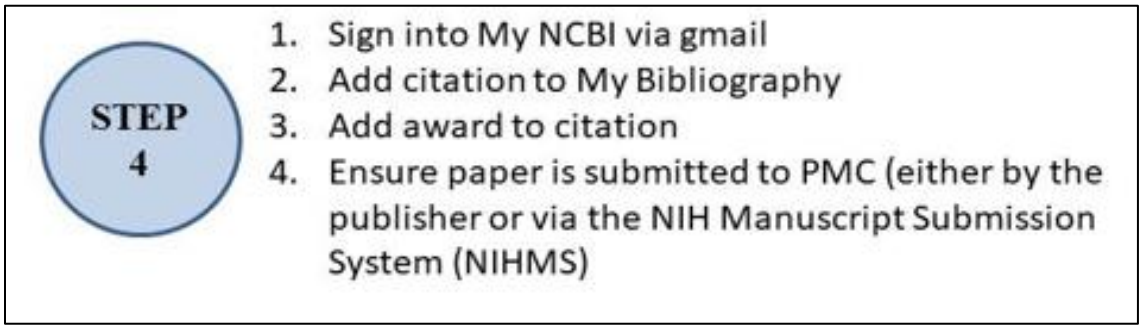
> *"As an author whose research is funded in part or in whole by FUNDER, I am obligated as a condition of my award to reserve certain rights. The Journal therefore acknowledges that the Author retains the right to provide a copy of the authors' final manuscript, including all modifications from the publishing 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 refuses 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 many 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 refuses, please contact your funder for assistance.

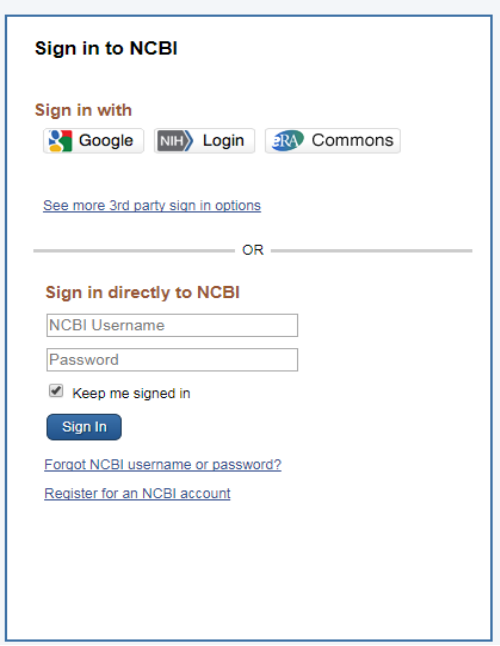
Note that awardees should keep a copy of any publication agreement modifications in the event of a future copyright dispute. Your funder may require that you submit the final Publication Agreement as part of your routine progress reporting.

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.



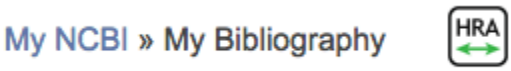
STEP 4.1: SIGN INTO MY NCBI VIA GOOGLE

Log into NCBI with the same Google account used in ***HRA Open***.



For awardees with an existing NCBI account, associate the Google account with your existing NCBI account as shown below. *Do not* create a new NCBI account. If you need help at this step, please contact info@ncbi.nlm.nih.gov

In the main page of your NCBI account, follow the link to "Manage my Bibliography". Make sure you see the HRA indicator at the top of page on your Bibliography:



STEP 4.2: ADD CITATION TO MY BIBLIOGRAPHY

There are a few options for adding new citations to My Bibliography once you are logged in:

1. Adding a PubMed citation
2. Adding a citation manually
3. Adding citations from a file

STEP 4.3: ADD AWARD TO CITATION

Once the citation is added, you may associate your HRA funding to the citation 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.

The “My awards” section (see Assign Awards window above) provides a list of awards associated to your personal profile. The “Other awards” section displays those awards that are not associated with your personal profile, but have been linked to citations in your My Bibliography collection.

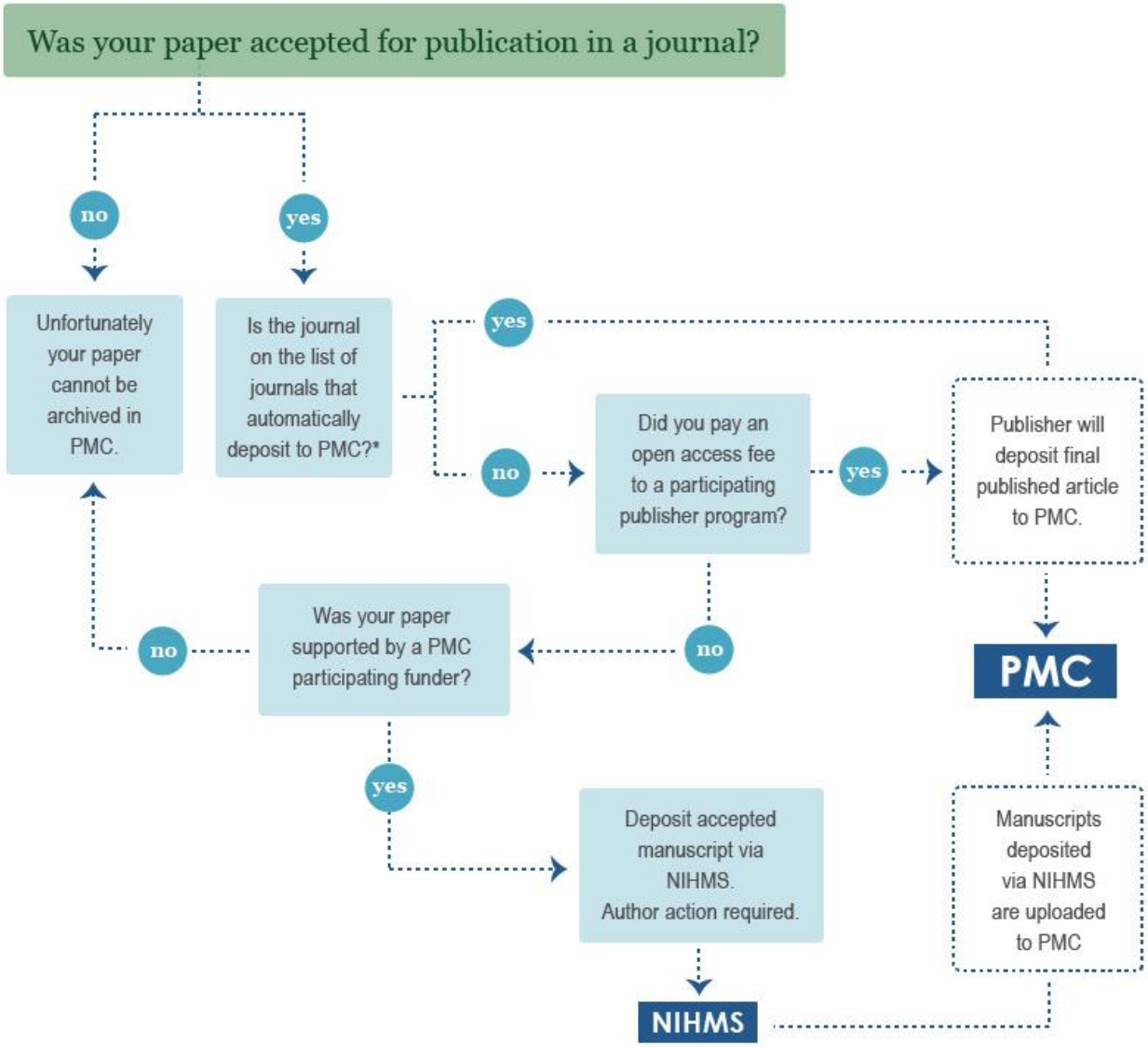
To add award associations from either list to your citations, check the checkbox next to an award and click the “Save” button.

Note: If, in Step 4.2, you added a PubMed citation that is already associated with a full-text archived record in PMC, the Public Access Status for the paper should display as “Complete” and no further action will be required.

STEP 4.4: ENSURE PAPER IS SUBMITTED TO PMC

There are two ways a paper may be submitted to PMC: direct submission by the publisher and author submission through NIHMS.

The diagram below illustrates how authors can determine whether the publisher will deposit the final published version of an article directly in PMC or whether the author manuscript should be deposited in the NIHMS to comply with a funder’s public access policy.



Questions about the NIHMS system or author manuscript submission process should be sent to nihms-help@ncbi.nlm.nih.gov.

Publisher Submits Directly to PMC

A few thousand journals have agreements to deposit the final published versions of some or all of their articles directly in PMC. There are three kinds of agreement:
Full participation – journal deposits all its articles.
Selective deposit – journal / publisher chooses which articles to deposit. A number of publishers offer a program (e.g., Springer Open Choice, or Wiley Online Open) where an author has the option of paying a fee to make his/her article open access. Many publishers deposit these selected open access articles in PMC.

NIH portfolio – journal deposits only articles that fall under NIH's Public Access Policy, i.e., are NIH funded. (**Note**: If you publish in an NIH Portfolio journal and your paper does not have NIH support, you will likely need to deposit the peer-reviewed, accepted manuscript to the NIHMS.)

Authors who publish in journals that note an embargo period of more than 12 months should make special arrangements with the journal to ensure compliance with a funding agency's public access policy. The Special Collections tab on the PMC Journal List page has a list of publisher programs and journals covered by Selective deposit agreements. There is no guarantee that one of these publishers will deposit a specific funded article in PMC. Authors should confirm the deposit agreement status with the publisher.

Author Manuscript Deposited via NIH Manuscript Submission (NIHMS) System

Many journals do not have any participation agreement with PMC. In that case, the supported author or PI on the grant is responsible for ensuring that the accepted, peer-reviewed manuscript called for by a funding agency's public access policy is deposited to the NIHMS (https://nihms.nih.gov/). Only manuscripts that are covered by the public access policies of participating funding organizations can be deposited to the NIHMS.

Some publishers will initiate the NIHMS deposit process for an author, but the author must complete two approval steps to load the PMC-ready version to PMC (steps 2 & 4 in the table above). The author/PI is similarly responsible for the NIHMS approval steps if a delegate (e.g., library or administrative assistant) initiates the deposit process. PMC does not have formal agreements with publishers who initiate NIHMS deposits. Ultimately, a supported author or PI must ensure that a funded manuscript is deposited.

Awardees can access the NIHMS by clicking the "Publishers and Others" My NCBI button on the NIHMS homepage.

More information on the NIHMS process can be found in the NIHMS FAQ and on the NIHMS tutorial page.