STEPS FOR RETROACTIVE COMPLIANCE OF WORKS UNDER THE NIH PUBLIC ACCESS POLICY
(Revised for UC Davis – May 2014)

1. Is the work applicable per NIH Public Access Policy criteria? See Applicability Criteria. Yes to all three criteria means that the work is applicable.

2. If not applicable, note N/A on My Bibliography using the “Edit Status” function. See NIH Public Access Policy: Compliance Management Using the My Bibliography Tool in My NCBI for guidance on My Bibliography.

3. If applicable, find the work in PubMed. Does the work have a PMCID noted on the record page below the abstract? If no PMCID, copy and paste the PMID to the PMID-PMCID Converter tool to see if the work has a NIHMSID or a PMCID (NOTE: If the work is not found in PubMed, go to Step 5). The PMID-PMCID Converter tool is often updated sooner than PubMed.

4. If a NIHMSID is available on the PMID-PMCID Converter tool, this indicates that the work was published in a Submission Method C or D journal. Works published in a Submission Method C or D journal are submitted to NIHMS to prepare the work for posting to PMC and require approval steps from one of the authors before a PMCID is assigned. See the Submission Methods Chart for the approval steps required and Finding Journal Policies for Submission Methods for guidance on how to find journal policies for NIH-funded authors.

   Submission Method C 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.

   Submission Method D journals submit works to PMC on behalf of NIH-funded authors and usually assign the corresponding author as the responsible author for the approval steps. Contact the NIHMS Help Desk to clarify the status of the work and who the responsible author is. 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. If the responsible author is not timely completing the approval steps required for a PMCID, any other author can be assigned as the responsible author. This is done by sending an email to the NIHMS Help Desk.

   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].

5. If no NIHMSID or PMCID (or if the work is not indexed by PubMed), check the Submission Method A list 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 the journal is on the Submission Method A list, use ‘PMC Journal – In Process’ as documentation of compliance and send an email to the NIH Policy Help Desk 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. See Finding Journal Policies for Submission Methods for guidance on how to find journal policies for NIH-funded authors. This process requires reviewing the policies for authors as noted on the journal website or copyright agreement form. If no information can be located, authors will need to contact the journal for clarification as to policies for NIH-funded authors.
If the journal is a **Submission Method C journal**, one of the authors should self-submit the work to NIHMS or assign a third party to submit the work. See [NIHMS Submission Help for Principal Investigators and Non-PI Submitters](#) for guidance on how to submit the work to NIHMS.

If the journal is a **Submission Method D journal**, contact the journal to clarify the submission status of the work. Guidance for how to find contact information is noted in [Finding Journal Policies for Submission Methods](#).

**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.

Retain all copies of 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 us.

7. **Questions or problems? Contact:**

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