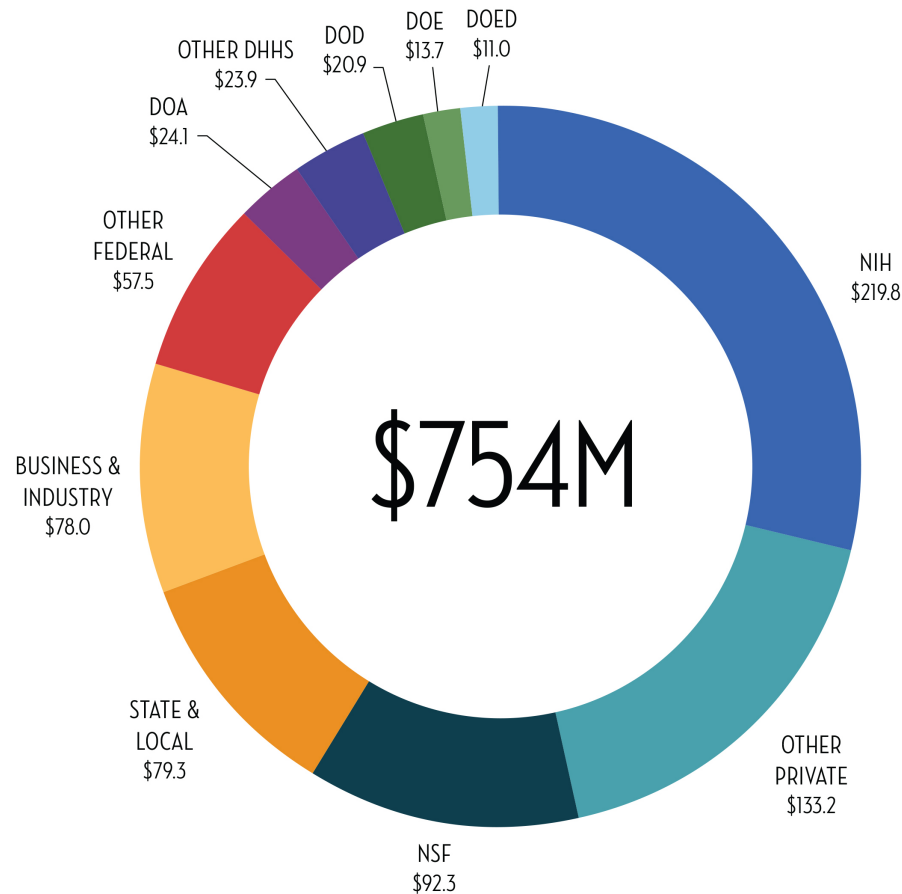


# Public access compliance: collaboration and conversations

Claire Stewart

Associate University Librarian for Research & Learning

# University of Minnesota research funding (FY15)

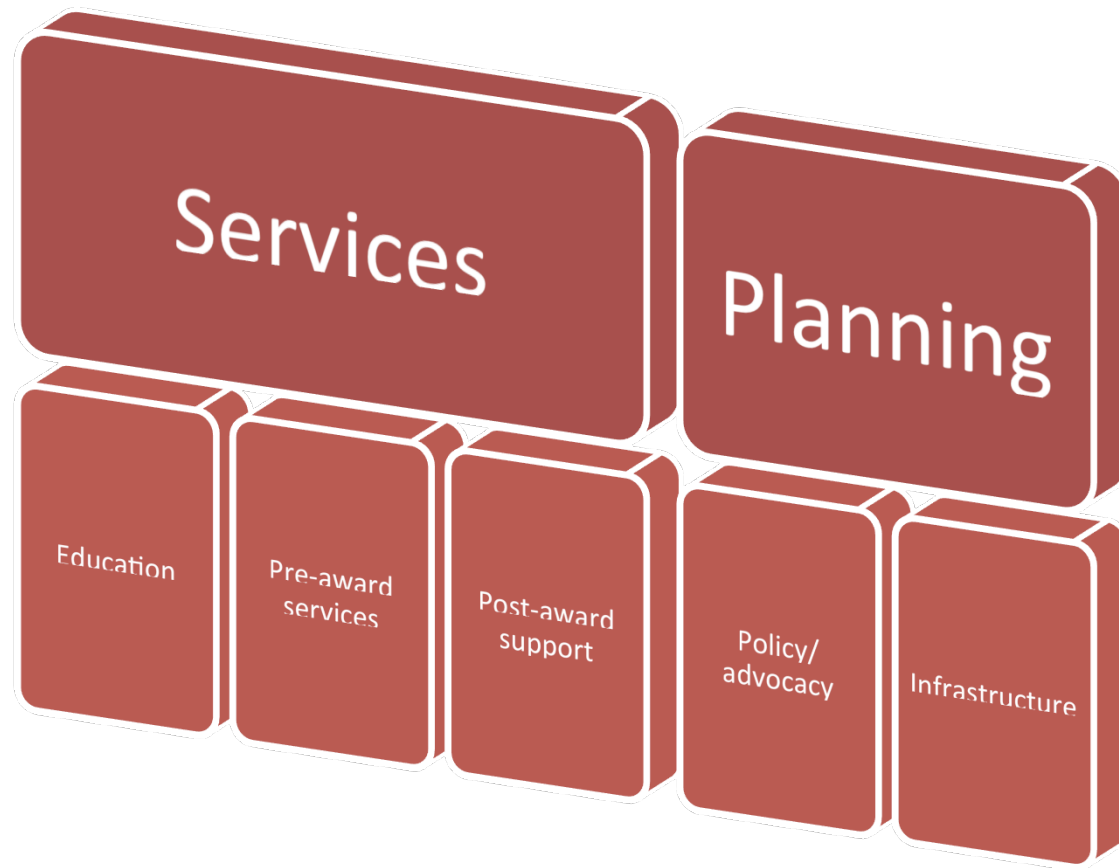


# Existing challenges in compliance support

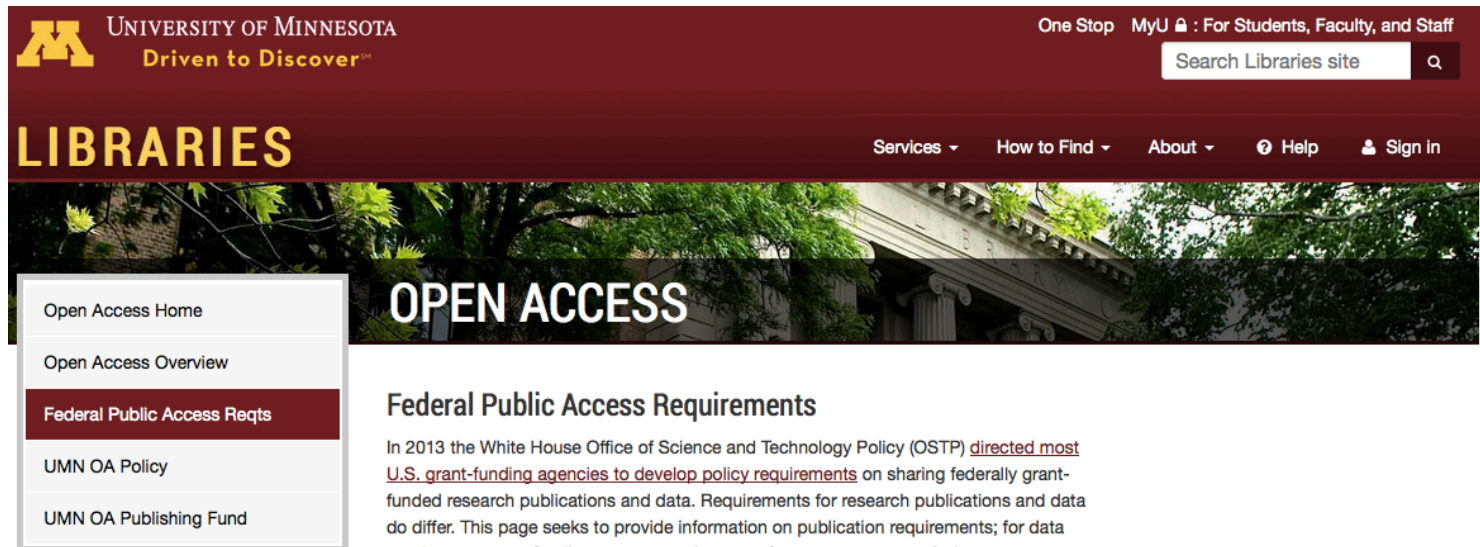
## The Landscape has Changed since 2006

- Grants.Gov no longer a novel system
- SPA must now use **75** different electronic agency proposal submission systems (20 more than just two years ago)
- Additional regulatory requirements (e.g., FCOI, subawards, data management plans) have increased the number of items to review
- Federal regulations require institutional proposal review to “ensure adherence to all regulatory and agency requirements”
- NSF has added extensive electronic controls that prevent SPA from submitting and removed a 5 day post-deadline SPA certification window

# Roles for libraries: collaborations and conversations



# Education



The screenshot shows the University of Minnesota Libraries website. The header includes the University of Minnesota logo and name, a search bar, and navigation links. The main banner features a photograph of a building and the text 'OPEN ACCESS'. A sidebar on the left contains a menu with options like 'Open Access Home', 'Open Access Overview', 'Federal Public Access Reqts', 'UMN OA Policy', and 'UMN OA Publishing Fund'. The main content area is titled 'Federal Public Access Requirements' and contains text about research funding agency policies, a bulleted list of requirements, and a concluding statement about author responsibility.

UNIVERSITY OF MINNESOTA  
Driven to Discover™

One Stop MyU : For Students, Faculty, and Staff

Search Libraries site

**LIBRARIES**

Services ▾ How to Find ▾ About ▾ Help Sign In

**OPEN ACCESS**

Open Access Home

Open Access Overview

**Federal Public Access Reqts**

UMN OA Policy

UMN OA Publishing Fund

## Federal Public Access Requirements

In 2013 the White House Office of Science and Technology Policy (OSTP) [directed most U.S. grant-funding agencies to develop policy requirements](#) on sharing federally grant-funded research publications and data. Requirements for research publications and data do differ. This page seeks to provide information on publication requirements; for data requirements, see [funding agency requirements for access to research data](#).

U of M researchers are responsible for knowing their relevant agency's requirements for making grant-funded publications publicly accessible. Some commonalities in policies include:

- Allowance of a 12 month embargo period from publication to public access
- A mechanism to submit an evidence-based request for embargo extension
- Article metadata (e.g., citation information) is required upon publication even if the full text will be embargoed

Some funders specifically scope their responses to only peer-reviewed journal articles. Others more broadly say peer-reviewed articles (which may or may not include peer-reviewed conference papers).

**Compliance with these policies is the responsibility of the author. Authors should**

# Education

Office of the Vice President for Research

[Search SPA](#) [Contact SPA](#) ☐

[Home](#) > SPA Symposium VIII

## sponsored projects symposium IX

**February 9, 2016**  
**McNamara Alumni Center**  
**8:45 a.m. – 3:30 p.m.**

### [Session Descriptions](#)

|                               |  |   |
|-------------------------------|--|---|
|                               | <i>Room TBD</i>  | <i>Room TBD</i>   |
|                               | <i>Session 7</i>   | <i>Session 8</i>  |
|                               | <i>Creating a Data<br/>Management Plan for<br/>Federal Funders</i> | <i>Public Access Policies Across<br/>Federal Agencies</i> |
| <i>10:45 – 11:30<br/>a.m.</i> | <i>Caitlin Bakker<br/>Alicia Hofelich Mohr</i>                     | <i>Katherine Chew</i>                                     |

# Pre-award services

## LIBRARIES

Services ▾ How to Find ▾ About ▾ ? Help Sign In

MANAGING YOUR DATA

Home

Our Services

1. Before Your Research

2. During Your Research

3. After Your Research Ends

Training and Workshops

About Us

### MANAGING YOUR DATA

Got data? We're here to help you manage, share, and preserve your research data. In addition to our [Data Repository for the U of M](#) curation services, the Libraries will help you navigate available campus resources throughout the data lifecycle:

#### Before Your Research Begins

- Schedule a data management plan (DMP) consultation ([Request Form](#)) or use our [DMP templates](#)
- Explore [funding agency requirements](#) for data and learn best practices for getting [IRB approval](#) for sharing data.
- See [more tools for planning for data management](#)

#### During Your Research

- Attend workshops and explore online [training resources on best practices for data management](#)

### Need help?

[Contact Us](#) with your questions and we will consult with you or point you to the right person, resource, or service on campus.

[Download a Brochure of our Services](#)

# Post-award support

## SERVICES

[Course Reserves](#)

[Copyright](#)

[Instruction Services](#)

[Interlibrary Loan](#)

[Outreach Services](#)

[Researcher Support](#)

[NIH Public Access Policy](#)

[Subject Librarians](#)

[Systematic Review Service](#)

## NIH PUBLIC ACCESS POLICY & COMPLIANCE

### About the Policy

The [NIH Public Access Policy](#) requires that publication accepted, peer-reviewed journal articles that result from NIH-funded research be submitted to [PubMed Central \(PMC\)](#) and to be made publically available no less than 12 months after publication.

For non-competing continuation grant awards with a start date of July 1, 2013 or beyond:

- NIH will delay processing of an award if publications arising from it are not in compliance with the [NIH Public Access Policy](#).
- Investigators will need to use [My NCBI](#) (a feature in PubMed), along with their eRA Commons account to enter papers onto progress reports. Papers can be associated electronically using the Research Performance Progress Report (RPPR), or included in the PHS 2590 using the My NCBI generated [PDF report](#).

Please see [NOT-OD-12-160](#) for more details.

### NIH Public Access Policy Compliance Help

Staff in the Bio-Medical Library are on hand to answer questions about compliance by contacting [public-access@umn.edu](mailto:public-access@umn.edu). We offer expertise in:

- Staff presentations and consultations on how to use MyNCBI and MyBibliography

### [NIH Public Access Policy & Compliance](#)

[NIH Public Access Policy--Does It Apply to Me?](#)

[MyNCBI & MyBibliography--Getting Organized](#)

[Addressing Copyright](#)

[Submitting Manuscripts](#)

[Citing the Manuscript](#)

[Managing Compliance](#)

[Research Performance Progress Report \(RPPR\)](#)

[Additional/Library Resources](#)



# Public Access Compliance Monitor

PMID

Search

Compliance status for articles published between 01/2008

and 05/2015

Go

UNIVERSITY OF MINNESOTA: Compliant(8988) | Non-compliant(1156) | In process(23)

Download as CSV file

Page size: 10 [25] 50 100 200

Pages: 11 2 ... 689 Next&gt;

chewx002@umn.edu My NCBI Sign Out

| PMID     | PMCID   | NIHMSID | Grant number |     |
|----------|---------|---------|--------------|-----|
| 17316906 | 2292815 | 43165   | R01 NS038065 | LEE |
| 17440806 | 3719399 | 480015  | R01 MH063688 | RO  |
| 17562147 | 2398719 | 46855   | K01 MH070740 | LEE |
| 17686584 | 2430893 | 48025   | R01 AR056092 | PAF |
| 17687275 | 2700120 | 120583  | K01 DA019446 | MO  |
| 17722009 | 2827405 | 176027  | R01 GM046736 | GA  |
|          |         |         | R01 CA077646 |     |
| 17724252 | 2822465 | 175960  | R01 CA120388 | DO  |
|          |         |         | R01 CA081064 |     |
| 17766043 | 2673489 | 54057   | R01 CA084233 | BEI |
|          |         |         | T32 DA007097 | MO  |
| 17827233 | 2134861 |         | R01 DE003606 | GR  |

U.S. Department of Health &amp; Human Services

**NIH** Manuscript Submission System

Sign In

NIH Researchers



CDC Researchers



HHMI Researchers



VA Researchers



Publishers and Others



Sign-In Help

Forgot your sign-in route? Request E-mail Reminder

NCBI Resources

My NCBI » My Bibliography

My NCBI Awards View

This bibliography is public (link to private) | Edit settings for M

Display Settings: Award view Sort by author, group by citation type

Select: All, None 0 items selected Move Delete Copy View Suggest Assign Awards PDF report Download as text Add citation

Journal Articles

1: Aldoss O, Arain N, Malik J, Kochilas L, Gruenstein D. Endovascular stent provides more effective early relief of SVC obstruction compared to balloon angioplasty. Catheter Cardiovasc Interv. 2014 Jun 1;83(7):E272-6. doi: 10.1002/ccd.24413. Epub 2013 Dec 4. PMID: 24281511; PubMed Central PMCID: PMC3876111

NIH Public Access Compliance: Complete. PMCID: PMC4357311

NIH Funding: UL1 TR000114 - University of Minnesota Clinical and Translational Science Institute (UMN CTSI)

Add or delete award

2: Arnoletti JP, Frolov A, Eloubeidi M, Keene K, Posey J, Wood T, Greeno E, Jhala N, Varadarajulu S, Russo S, Christein J, Oster R, Buchsbaum DJ, Vickers SM. A phase I study evaluating the role of the anti-epidermal growth factor receptor (EGFR) antibody cetuximab as a radiosensitizer with chemoradiation for locally advanced pancreatic cancer. Cancer Chemother Pharmacol. 2011 Apr;67(4):891-7. doi: 10.1007/s00280-010-1383-0. Epub 2010 Jun 30. PubMed PMID: 20589377; PubMed Central PMCID: PMC3434707.

NIH Public Access Compliance: Complete. PMCID: PMC3434707

NIH Funding: P50 CA101955 - UAB / UMN SPORE in Pancreatic Cancer; Administrative Core; Career Development Program; Combined Modality Targeted Therapy of Pancreatic Cancer with Death Receptor; Developmental Research Program

Add or delete award

3: Arora EE, Chew K, Waters L, Dwyer M. A case study placing a statewide information resource for health professionals

Filter citations by: Publication date: YYYY MM to YYYY MM

Awards: No award selected

R03 DE021762 Robust spati...

R03 DE023372 Exploring to...

R01 HL081522 Enhancing Sm...

R34 MH097832 Adaptive Int...

Publication type: PubMed citation Manually-added citation Meeting

Paper-grant associations: Added by other PIs

U.S. Department of Health &amp; Human Services

**NIH** Manuscript Submission System

About Help Manuscript List Katherine Chew Sign off

Manuscript List for Katherine Chew

## NIH Manuscript Submission System

Needs Your Attention 0 In Process in NIHMS 0 Stalled 0 Completed 1 Available in PMC 4

1 manuscript awaiting release to PubMed Central

| NIHMSID | Title   | Status  |
|---------|---|---|
| 635875  | Genetic Markers Associated with Plasma Protein C Level in African Americans: the Atherosclerosis Risk in Communities (ARIC) Study<br>Genet Epidemiol December 1, 2014 | Released to PMC (under embargo) (PMCID: PMC4354842) |

Submit New Manuscript

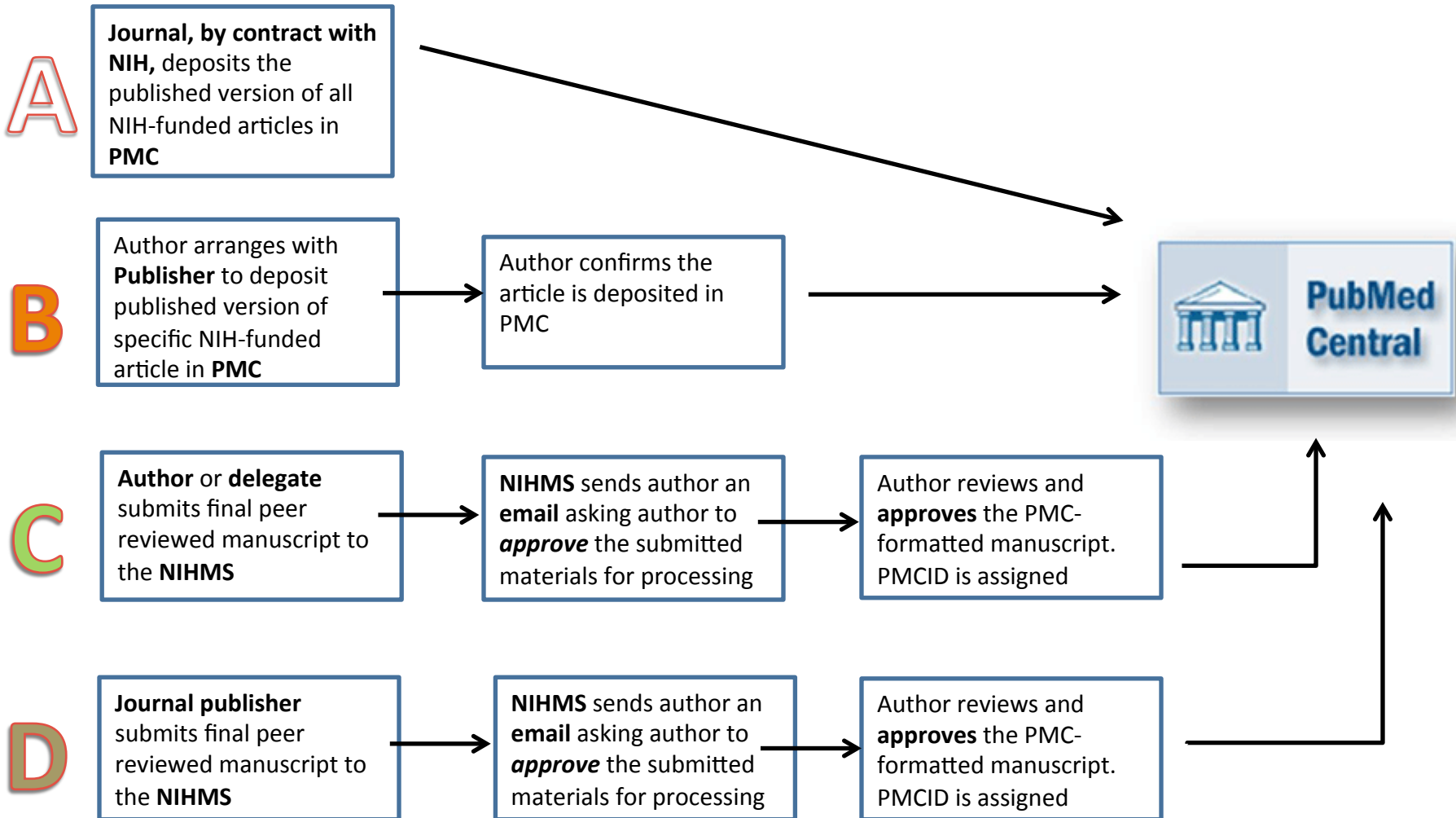
Find a manuscript

NIHMSID

How do I submit a manuscript?

What does the Status of a manuscript record mean?

# Submission Methods



# Extending support

- Baseline from Libraries: extend and continue advisory/education role for articles and data, curation and repository services
- Charged a new team to work with Sponsored Projects Administration (SPA)
  - Monitor agency plans as they are finalized
  - Test systems and processes
  - Develop a new joint education program, staffing recommendations

# Complex compliance picture

- NIH gap between voluntary (2005), mandatory (2008), funding impacts (2013). Will other agencies follow this pattern?
- Will Sponsored Projects Administration (SPA) have to work with **more** than 75 different systems?
- Administrative burden a significant concern: how can our communities work together to address?
- How will journals/publishers respond?

# Policy/advocacy



procedure and process were created to reduce risk and comply with University and legal requirements. The University Policy Library is a central repository of policy roles and responsibilities. It is developed, reviewed, and maintained promotes consistency, efficiency and transparency a

## UNIVERSITY POLICY LIBRARY

[Home](#)[Policies](#)[Campus Policies](#)[College Constitutions](#)[Policy Owner Resources](#)[About Policy](#)

### ADMINISTRATIVE POLICY

## Research Data Management: Archiving, Ownership, Retention, Security, Storage, and Transfer

Responsible University Officer: Vice President for Research

Policy Owner: Associate Vice President for Research

Policy Contact: [Frances Lawrenz](#)

### POLICY STATEMENT

Management of research data is a shared responsibility among: the Office of the Vice President for Research (OVPR); the Office of the Vice President and Chief Information Officer (OVPCIO); the Academic Health Center (AHC); the University Libraries and system campus libraries; the colleges, schools and system campuses; and the Principal Investigator (PI).

### Jump to:

[Procedures](#)[Forms](#)[Appendices](#)[FAQ](#)

Date Revised  
December 2014

Date Effective  
January 2015



ISSN 2162-3309 | JLSC is published by the Pacific University Libraries | <http://jls-public.org>

Volume 3, Issue 2 (2015)

## Approaches to Data Sharing: An Analysis of NSF Data Management Plans from a Large Research University

Carolyn Bishoff, Lisa Johnston

Bishoff, C., & Johnston, L. (2015). Approaches to Data Sharing: An Analysis of NSF Data Management Plans from a Large Research University. *Journal of Librarianship and Scholarly Communication*, 3(2), eP1231. <http://dx.doi.org/10.7710/2162-3309.1231>

### University Librarian

- Ensures accessibility and preservation of research data through curation, metadata, repositories, and other access and retrieval mechanisms to meet federal, state, sponsor, and University requirements.
- Trains and supports researchers in the creation and implementation of data management plans.
- Assists campus library directors if their assigned responsibilities exceed campus capacity.
- Works with campus library directors to develop research data management solutions system-wide, where appropriate.

# Policy/advocacy



## Executive Directive on Public Access

On February 22, 2013, the White House issued an executive directive that requires the results of taxpayer-funded research – both articles and data – be made freely available to the general public with the goal of accelerating scientific discovery and fueling innovation.

Federal Agencies are in the processing of releasing draft plans and will begin implementation in the coming months.

### About the Directive

The [Executive Directive on Increasing Access to the Results of Federally Funded Scientific Research](#) requires U.S. Government agencies with annual extramural research and development expenditures over \$100 million make

## National Dialogue: Improving Federal Procurement and Grants Processes.

National Dialogue and Pilot to reduce reporting compliance costs for Federal contractors and grantees.  
Click here to get started:

[REPORTING AND DATA ACT DIALOGUE](#)

## Reporting and DATA Act Open Dialogue

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### GRANTEES

## Harmonize Agency Public Access Procedures and Submission

AAU, COGR, and APLU recommend that OMB require all Federal agencies subject to OSTP's 2013 policy memorandum, "Increasing Access to the Results of Federally Funded Scientific Research," to harmonize the procedures by which extramural grantees submit final peer-reviewed manuscripts or final published documents and data to the agencies' public access repositories. We believe that this harmonization process may most effectively be accomplished under the auspices of the National Science and Technology Council (NSTC).

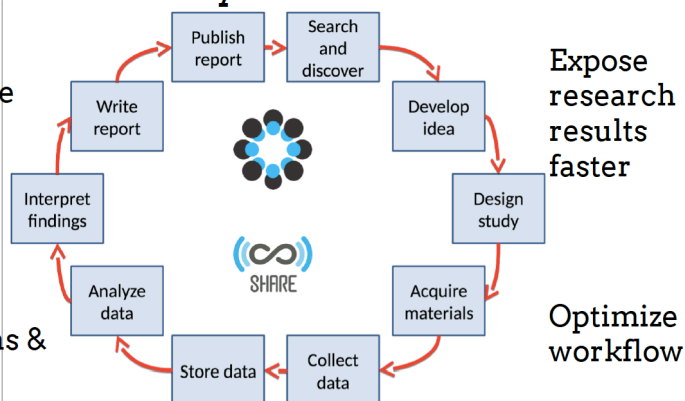


# Infrastructure

## Research life cycle: SHARE & OSF

Preserve  
and curate  
scholarly  
record

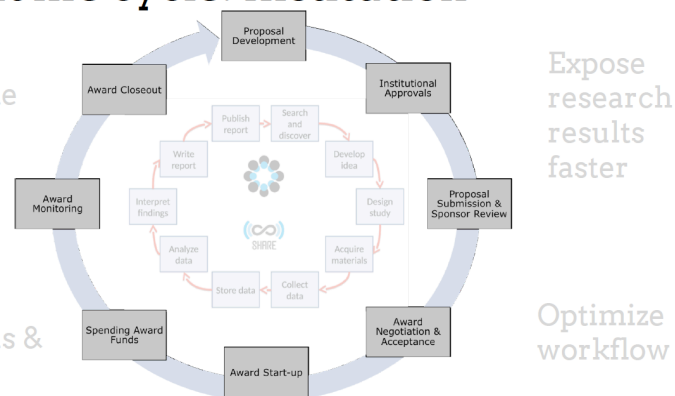
Build  
research  
library  
collections &  
services



## Grant life cycle: Institution

Preserve  
and curate  
scholarly  
record

Build  
research  
library  
collections &  
services



Thank you