

NIH PUBLIC ACCESS COMPLIANCE MONITOR USER GUIDE

The compliance monitor is available at <http://www.pubmedcentral.nih.gov/utl/pacm/>.

The NIH Public Access Compliance Monitor (PACM) provides an institution with the current compliance status of all journal articles that are associated with the institution and fall under the [NIH Public Access Policy](#). This database is provided as a service to our awardees to help them track compliance, should they wish to use it. It is not a formal reporting or monitoring tool for NIH.

WHO HAS ACCESS TO PACM?

To gain access to PACM, users must first be assigned a “PACR” role by an administrator at their institution who is authorized to assign roles in NIH’s eRA Commons grants administration system (e.g., Signing Officer).

Users with a PACR role have access to the compliance reports for their institution. The reports are organized by IPF (Institutional Profile File) number, the unique ID assigned to a grantee organization in the eRA system. If your institution has multiple IPF numbers, you must be assigned a PACR role for each IPF that you wish to monitor and you must log in to PACM separately for each IPF number.

WHAT IS IN THE PUBLIC ACCESS COMPLIANCE MONITOR?

PACM contains a list of all articles that NIH believes a particular grantee institution (IPF number) is responsible for under the terms of the [Public Access Policy](#). An article published in 2008 or later is included in the list if it has been associated with NIH funding (a grant, contract, etc.) provided to the institution. The funding connection may come from an acknowledgement statement in the article or from a separate association made by an author, e.g., during the process of submitting the manuscript to the [NIH Manuscript Submission \(NIHMS\) system](#), or the [My Bibliography](#) (a component of My NCBI).

These inclusion criteria are not perfect, and this database may miss papers that are NIH supported and fall under the NIH Public Access policy (e.g. papers posted to PMC without being associated with your institution’s award). It also may include papers that do not fall under the policy, such as papers that are directly supported by NIH but are not peer reviewed. For information on how to correct these errors, please see the [Q&A section](#).

The compliance monitor classifies articles according to compliance status and provides detailed information about each article—a full citation; associated

PACM In Brief



Global overview of publications



Requires PACR role in eRA



Includes papers associated with awards acknowledged in the text or added via the NIHMS or My Bibliography

grants and principal investigators (PIs); the PubMed ID and related IDs where available; and a link to the PubMed record.

DEFINING COMPLIANCE STATUS

The compliance status of an article in PACM is based on the following criteria:

Compliant	In Process	Non-Compliant
<p>The article has a PMCID (PubMed Central ID), indicating that it has been or is ready to be made public on PubMed Central,</p> <p>OR</p> <p>the article has been published in a Method A journal.</p>	<p>The article is NOT from a Method A journal, AND it is less than 3 months past its final publication date,</p> <p>AND</p> <p>it is being processed in the NIHMS, i.e., manuscript files have been deposited, but the process has not been completed and the article does not yet have a PMCID.</p>	<p>The article is NOT from a Method A journal,</p> <p>AND</p> <p>it does not have a PMCID,</p> <p>AND</p> <p>it is not “in process” as defined above.</p> <p>This includes articles less than 3 months past publication that have not yet begun the NIHMS submission process.</p>

LOGGING IN TO THE PUBLIC ACCESS COMPLIANCE MONITOR

To use PACM go to <http://www.pubmedcentral.nih.gov/utills/pacm/>. You will see the Welcome page below.



Click on the link to Login via My NCBI. On the NCBI sign-in page choose the NIH Login or the eRA Commons button.

Either option will take you to the NIH iTrust page, where you must enter the eRA Commons user name and password that are associated with your PACR role. If this is your first time logging in, you will next be taken to a Partner Organization sign-in page. Here you must either provide an email address OR link to an existing NCBI account. When you complete this step you will be taken

to the Institution Summary page (future logins will go directly from the NIH iTrust page to the compliance monitor).

INSTITUTION SUMMARY PAGE

Once you are logged in, you will get the page below, which summarizes the compliance status of your institution—or, more specifically, the institution with the IPF number that is associated with your login username and password.

Compliance Rate View your institution's overall compliance rate for the selected timeframe

Date Range Filter By default, PACM shows compliance status for articles published in the last year (current month plus 12 months). Use the date boxes to change the date range.

Last Updated Data updates typically take place on Wednesdays and Saturdays.

Institution Details Click on the *Compliant*, *Non-Compliant*, or *In Process* number to go to view lists of articles that are in each of these compliance states.

IPF	Institution	Total articles	Compliant	Non-Compliant	In Process	Compliance rate (%)
123456	UNIVERSITY OF GOOD HEALTH	3595	3371	218	6	94

Account Management

If you open PACM when you are already logged in to My NCBI with a different user name and password, you will get an error message. You will need to sign out of My NCBI and sign in again via your account with the PACR role.

PUBMED ID AND GRANT ID FILTER

These filter options are available from the [Institution Summary page](#) or an [Institution Details page](#).

PMID
Grant #
and 04/2019 Go

PubMed ID Filter: Enter a PubMed ID (PMID) into the search field without any prefix (e.g., 20639796). If the PMID is associated with an award made to your IPF, it will display the [Article Details page](#) for the associated publication. If the PMID is not valid or does not have funding associated with your institution, the search will return an error message.

Grant Number Filter: Use the search field dropdown menu and select “Grant #” to filter your institution’s records by grant. If the grant is associated with your IPF, you will be taken to a filtered list of records associated with the grant. The default display for any Grant # search is the non-compliant list of associated records.

Grant Format

To filter by grant, use the grant number format displayed in the Grant Number column on the Institutional Details page, e.g., R01 NS038684. Searching for just a portion of the grant may provide unreliable results.

INSTITUTION DETAILS PAGE

The Institution Details page lists all the articles for your IPF, broken down by compliance status. Other things you can do on this page include:

List Display Use Page size, at the top left of the table, to change the number of lines that are displayed on each page of the report.

Navigation Click any column heading in the table to sort the list by that field.

PubMed Details Hold your cursor over a PMID to see the corresponding article title, authors, and journal name. Click the PMID to view a full PACM Article Details page.

Column Sort Click any column heading in the table to sort the list by that field.

Download Reports The "Download as CSV file" link in the upper right corner lets you download the current list to an Excel spreadsheet.

PMID	PMCID	NIHMSID	Grant Number	PI Name	Publication Date	NIHMS file deposited	NIHMS initial approval	NIHMS tagging complete	NIHMS final approval
30089681		1505028	K01 HLXXXXX R01 AAXXXXX	DOE, JANE DOE, JANE DOE, JANE	08/08/18	08/28/18	08/28/18	09/11/18	
30556734		1015489	R01 AAXXXXX R01 AAXXXXX R01 AAXXXXX K05 AAXXXXX	DOE, JANE DOE, JANE DOE, JANE DOE, JANE	12/17/18	04/10/19	04/16/19		
30635990		1006474	R01 HLXXXXX R56 HLXXXXX	DOE, JANE DOE, JANE	01/11/19	01/12/19		01/28/19	
30640147		1010208	R01 GAXXXXX	DOE, JANE	12/27/18	02/05/19	02/05/19	03/11/19	
30676037		1015487	F31 AAXXXXX T32 AAXXXXX	DOE, JANE DOE, JANE	02/01/19	04/10/19			
30933866		1523421	R21 GAXXXXX	DOE, JANE	03/07/19	04/04/19	04/04/19		

Excluded Grants

These lists will not show grants that were closed prior to FY 2008 or grants that have been cited in a paper but were marked by the PI in My Bibliography as having not directly supported the research. See Q&A for more information on [Direct Support](#).

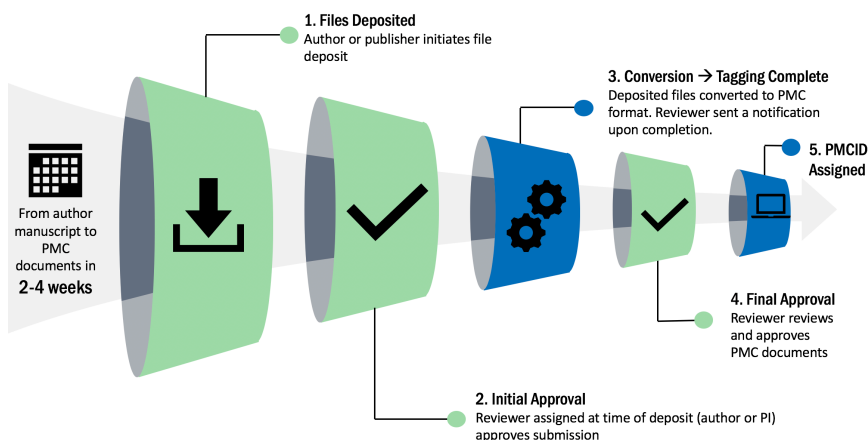


More on CSV reports

EXPLANATION OF FIELDS IN THE INSTITUTION DETAILS TABLE

PMID, **PMCID**, and **NIHMSID** are the unique article identifiers assigned to each article in PubMed, PMC, and the NIHMS, respectively. Every article in the list has a record in PubMed, and therefore a PMID. If an article does not show a PMCID or an NIHMSID, it means the article has not been deposited in the respective system.

Under submission methods C and D, an article receives an NIHMSID when the accepted manuscript files are deposited in the NIHMS system. The four "NIHMS" columns on the right end of the Institution Details table mark completion of stages in the NIHMS process:



See [How Papers Get Into PMC](#) for more information on PMC submission methods.

Under submission methods A and B, a publisher deposits the final published version of an article directly in PMC, the article will get a PMCID without having an NIHMSID.

ARTICLE DETAILS PAGE

When you click on a PMID in the Institution Details table, you get an Article Details page with more information about the article.

PubMed ID Click the PMID number to see the PubMed record for this article. (Click “XML” to get the XML version of the PubMed record.)

PMCID If available, click to view the complete article in PMC. (An article receives a PMCID as soon as it is loaded to, but it may still be embargoed for public release.)

Associated Grants When an article is associated with grants at multiple institutions, the Institution Details page shows only that institution’s grants and PIs. However, the corresponding Article Details page lists all grants, PIs, and institutions associated with the article.

The screenshot shows the Article Details page for PMID 24080640. It includes a search bar with the PMID entered, a table of associated grants, and a list of associated PIs and institutions. The article title is "Cholesteryl ester transfer protein polymorphisms, statin use, and their impact on cholesterol levels and cardiovascular events." The journal is "Clinical pharmacology and therapeutics".

Excluded Papers

If an article is not included on the Institution Details list due to an excluded grant (either because the grant closed pre-2008 or because the PI marked the publication as not being directly funded by the grant in My Bibliography), you can still access the Article Details page through a PMID search. The search only will only return a result if a grant is associated with your institution; the exempted grant(s) will not display.

EXPLANATION OF TERMS USED ON THE ARTICLE DETAILS PAGE

The Article Details page repeats many of the terms used on the [Institution Details page](#). Those terms are not explained again here.

Method A journal. A “Yes” here means that the article was published in a journal during the active period of a Method A agreement between the journal and NIH. [The NIH Public Access Journal List](#) includes the effective start dates (and, in a few cases, end dates) of participation for each Method A journal. Papers published in Method A journals are automatically marked compliant because the publisher has committed to providing PMC with the final published version of all articles that fall under the NIH Public Access Policy.

Journal Publisher. the publisher name on the Article Details page is taken from the [NLM Catalog](#).



If you know of a paper that has been published in a Method A journal but has not received a PMCID more than three months after publication, contact PublicAccess@nih.gov.

In the NIHMS section of the page, the **Initial actor** is the person or organization that made the initial deposit of manuscript files in the NIHMS (i.e., Submitter). The **Latest actor** is the person who currently is responsible for any actions needed to complete the processing of a manuscript (i.e., Reviewer). If the page shows a *Final approval* date, processing of the manuscript has been completed and the article is considered to be compliant.

API ACCESS (ADDED APRIL 2019)

For PACR users that upload compliance monitor data from CSV reports to an institutional system, API access is available to these data. The API Token is accessible in the top menu bar. To use the token you must be logged in and authenticated. The token should be added to the request, e.g.,

<https://www.ncbi.nlm.nih.gov/pmc/utils/pacm/s?format=csv&api-token=3E966141-9279-42F5-8B8C-4CDE5D3B243D>

A PACM API token will expire after 3 months.

Q&A: HOW TO USE PACM TO IMPROVE COMPLIANCE

How do I use the Public Access Compliance Monitor to create a list of non-compliant papers for PIs?

From the Institution Summary page, click on the *Non-Compliant* number to go to the Institution Details page. Sort the non-compliant list by PI and then download the list as a CSV file. The resulting Excel spreadsheet will include additional information (including article titles, first author names, and “latest actor” names), which gives each PI a convenient tool for following up on compliance issues.

Alternatively, Use the “Grant #” search/filter option to create lists of non-compliant papers for specific grants.

Suppose a manuscript is stalled in the NIHMS system and the Article Details page identifies a “latest actor” who is not at my institution. If the Public Access Compliance Monitor also associates this manuscript with a person at my institution, how can that person take over responsibility for completing the deposit process?

PIs and authors have the option to “claim” a record, which enables them to become the person responsible (i.e., Reviewer) for moving a stalled manuscript through the NIHMS system.

If the party making the request is not an author or PI associated with the paper, the claim request will be denied.

Is it possible that a paper identified as non-compliant actually does not fall under the NIH Public Access Policy?

There are four reasons why a paper identified as non-compliant may actually be exempt from the NIH Public Access Policy:

1. The paper was not peer-reviewed.
2. The paper was accepted for publication before April 7, 2008.
3. The paper was published in a script other than Latin (e.g., Russian, Japanese).
4. The paper was not directly supported by an NIH grant. (See sidebar for more information.)

If a PI determines that a non-compliant paper does not fall under the NIH Public Access Policy for one or more of the reasons given above, how can the PI remove the paper from PACM?

To remove a paper from the compliance monitor, PIs can do the following:

1. Log in to your My NCBI account.
2. Go to My Bibliography and click on the “Manage My Bibliography” link.
3. Locate the non-compliant paper in your list of citations and click the “Edit Status” link.
4. Select the reason that this article is exempt from the submission requirements of the NIH Public Access Policy.
5. Save your changes but do NOT delete the citation from My Bibliography. When the compliance monitor is next updated it will capture your changes and the paper will be removed.

If a PI determines that a non-compliant paper is exempt and should be removed from PACM but cannot find the paper in My Bibliography, what can the PI do?

If the paper is not included in their My Bibliography citations, PIs can do the following:

1. Go to [PubMed](#) and enter the article’s PMID into the search box, and click search.
2. Use PubMed’s “Send to” feature to add the paper to My Bibliography.
3. Go to My Bibliography and click on the “Manage My Bibliography” link.
4. Find the new citation and assign the relevant grant number(s) to it. Use the NIH grant number(s) that is listed with your name in the compliance monitor.
5. Now click the “Edit Status” link for this citation.

Direct Support

Sometimes authors acknowledge grants that did not directly fund the creation of their paper. Although PACM will identify such papers as non-compliant, they do not fall under the Public Access Policy.

Guidance for reporting publications for institutional training, career development, and related awards is available in the NIH Guide ([NOT-OD-15-091](#)).

Guidance for reporting publications supported by Shared Resources is also available in the NIH Guide ([NOT-OD-16-079](#)).

6. Select the reason that this article is exempt from the submission requirements of the NIH Public Access Policy.
7. Save your changes but do NOT delete this citation from My Bibliography. When the compliance monitor is next updated it will capture your changes and the paper will be removed.

If a paper falls under the Public Access Policy but has not been identified as such, how can PIs make sure that the paper is monitored for compliance?

PIs can go to My Bibliography, where they will find tools for adding a citation and associating award information with it. Once the new information is saved in My Bibliography, PACM will capture the changes and the paper will be monitored for compliance.

How long does it take for an update in My Bibliography to appear in PACM?

The compliance monitor is updated twice a week; any new information in My Bibliography will be reflected at the time of the next update.

I am listed as the PI for a publication, but I don't know anything about the article. What should I do?

If an article was supported by your NIH funding, you are required to show compliance for the paper when you report it to NIH, even if you are not an author on the paper. If your grant has been associated with a citation in error, please see the instructions on using My Bibliography to exempt the paper as not having been directly supported by NIH funding.

I am viewing an article record in PACM that displays no grants associated with my institution. Why is this record associated with my IPF? Should I monitor the compliance of this paper?

An article record may be associated with your IPF without displaying associated grant details if the grant was closed prior to FY 2008 or if the associated grant was marked as not directly supporting the research by the PI in My Bibliography. These grants are not subject to the Public Access Policy, even if a post-2008 article acknowledges support from such a grant.

If the citation does not appear in your Institution Details lists, you do not need to monitor the compliance status of the paper.

More questions? Please contact PublicAccess@nih.gov.