



A Step-by-Step Compliance Guide for Autism Speaks Awardees

Step 1: Submitting Your Manuscript to a Journal for Review

Grant recipients 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]. Autism Speaks has provided funding for the research reported in this manuscript and therefore its publication must comply with the Autism Speaks' "Policy on Public Access to Published Research" (<http://www.autismspeaks.org/science/policy-statements/policy-public-access-research-we-fund>). In order to ensure compliance with the Autism Speaks' 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 grant recipients should keep a copy of this cover letter in the event of a future copyright dispute.

Step 2: Codifying Access Rights within the Publication Agreement

Grant recipients should ensure that the publication agreements they sign upon a journal's acceptance of the manuscript is consistent with Autism Speaks' 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 Autism Speaks, I am obligated as a condition of my grant to reserve certain rights. The Journal therefore acknowledges that 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 balks at accepting 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 other Autism Speaks. 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 balks, please contact Autism Speaks for assistance. Note that grant recipients should keep a copy of any publication agreement modifications in the event of a future copyright dispute. Your Autism Speaks 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 3: Depositing Your Paper to PubMed Central

Once your paper is published, a copy of the authors' final manuscript, including all modifications from the publishing and peer review process, must be deposited into PubMed Central. There are four possible methods to submit an article to PubMed Central in compliance with this policy.

Note: If the journal in which you are publishing deposits a paper on your behalf directly to PubMed Central under methods A or B below, you will still need to associate your grant with the manuscript using My NCBI (<http://www.ncbi.nlm.nih.gov/myncbi/>). Choose "Sign in via Partner Organizations," and then select the appropriate sign-in option (Google or eRA Commons). Once you are signed in, search for the article citation in PubMed and add it to your My Bibliography account (http://www.ncbi.nlm.nih.gov/books/NBK53595/#mybibliography.Creating_a_Bibliography). You may then associate your Autism Speaks funding to citations in My Bibliography 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 (see http://www.ncbi.nlm.nih.gov/books/NBK53595/#mybibliography.Associating_NIH_Awards_to).

Under methods C and D described below, you will link the publication to the grant using the NIH Manuscript Submission System.

A. Automatic Deposit by Publisher: Currently, more than 1,000 journals automatically deposit all articles to PMC after an embargo period, at no charge to the author. The only action required of you is to associate your grant with the manuscript using My NCBI (<http://www.ncbi.nlm.nih.gov/myncbi/>). You can find a link to an updated list of these journals at http://www.healthra.org/pdfs/Journal_List_09_21_2012.pdf.

B. Publisher Requested Deposit: Some publishers will deposit an individual final published article in PubMed Central upon author request, generally for a fee. Be aware that Autism Speaks does not currently permit its grant funds to be used for such payments.

C. Author Deposit: Immediately upon acceptance for publication, you can deposit the paper directly to PubMed Central via the NIH Manuscript Submission System/NIHMS (<http://www.nihms.nih.gov>). An NIH eRA Commons account (<https://commons.era.nih.gov/commons/>) or your Gmail account is needed. This process usually takes less than 10 minutes. The first step in submitting your manuscript is to identify the journal and title of your submission. You may enter this information manually, or by selecting the tabs for "Lookup Article" or "My NCBI Bibliography". After identifying the correct article, you will be asked to identify the funding for this research. You may enter any combination of First Name, Last Name, or ID# to search for the appropriate grant. For Autism Speaks, the grant number should be entered as "ASCN####" with the #### corresponding to your 4 digit proposal ID number. After entering this information, you will proceed to uploading the relevant text and figure files.

During this process, you also will be asked to designate the number of months after publication when the manuscript may be made publicly available in PubMed Central, and you should list the lesser of the embargo period of the journal in which you are publishing or your Autism Speaks' requirements. You will be asked to confirm that the deposit of the manuscript is consistent with any publication and copyright agreements, and that NIH may begin processing the manuscript for use in PubMed Central. The NIHMS will convert the deposited files into a standard PubMed Central format, and email you to approve the PubMed Central-formatted manuscript for public display. You then review and approve the PubMed Central-formatted manuscript via the NIHMS. Corrections to the manuscript, if necessary, may be requested at this time. Upon completion, PubMed Central will automatically make the paper publicly available after the designated delay period has expired.

D. Publisher Deposit with Author Follow-up: In a variation of Method C above, some publishers deposit the manuscript files in the NIHMS for an author and designate the number of months after publication when the paper may be made publicly available in PubMed Central. The NIHMS will notify the corresponding author when the manuscript files are received from the publisher. At that point, you must link the paper to your grant, authorize NIH to process the manuscript and review and approve the PubMed Central-formatted manuscript via the NIHMS. Corrections to the manuscript, if necessary, may be requested at this time. Upon completion, PubMed Central will automatically make the paper publicly available after the designated delay.

Step 4: Demonstrating Compliance

The first step in demonstrating compliance is to create the tangible link between your grant and PubMed Central via the four steps outlined immediately above. This will allow Autism Speaks to track compliance using their internal reporting tools. Beyond this, you should acknowledge Autism Speaks' support by including the organization's name and the grant number in every article arising from such funding. You can demonstrate compliance with Autism Speaks' access policy by providing the organization – at the earliest possible convenience – with the PubMed Central (PMC) reference number (e.g., PMC234567) for each paper that falls under the policy. The PMC ID is posted in PubMed as soon as an article has been successfully processed by PMC, which usually occurs around the time of publication. PMC IDs are listed in the lower right corner of the AbstractPlus view of PubMed (<http://www.ncbi.nlm.nih.gov/PubMed>). For more detail visit http://publicaccess.nih.gov/citation_methods.htm#locating). If the PubMed Central reference number (PMCID) is not available because the paper has not yet been posted to PubMed Central, you can use the NIH Manuscript Submission reference number (e.g., NIHMS97531) for up to three months after publication.

You may also create links between your grant and PubMed citations using My Bibliography a component of the free My NCBI service. Log into My NCBI using your registered Gmail or eRA Commons account. Doing so will allow you to track all of your manuscripts submitted to NIHMS and to create new grant associations as necessary. My Bibliography is a handy tool that gives you a bird's-eye view into your citations and compliance with the policy. More details on My Bibliography can be found at <http://www.ncbi.nlm.nih.gov/books/NBK53595/>, the online help manual for My NCBI.