Fred Hutchinson Cancer Research Center's Compliance to the NIH Public Access Policy – A Case Study

Background

April 2008 The National Institutes of Health (NIH) mandated that all publications accepted after April 7, 2008 and resulting from NIH support must be made publically available within 1 year of publication. The Arnold Library at the Fred Hutchinson Cancer Research Center (FHCRC) initiated efforts to assist their constituents with compliance to this policy.

June 2012 The Arnold Library began a project to quantify the FHCRC's compliance to the NIH policy, collecting data on their relevant publications and library activities.

Jan 2013 The NIH launched its Compliance Monitor Tool, providing for the first time a mechanism by which institutes can review their NIH-reported compliance.

July 2013 The NIH will start delaying the processing of non-competing continuation awards for which the associated publications are not NIH Public Access Policy compliant.

Capstone Project

This project aimed to build off of the previous data gathering for 2009-2011 FHCRC publications (3169 total publications), analyze compliance factors locally, and determine if the new NIH Compliance Monitor Tool would be a sufficient tracking mechanism for future assessment.

Phase I. Build
Built & populated a database containing all 2009-2011 FHCRC publications and their associated compliance-relevant data.

Phase II. Analyze
Using the database from Phase I, completed an analysis of NIH Public Access Policy compliance of past FHCRC publications and calculated compliance rates across several variables.

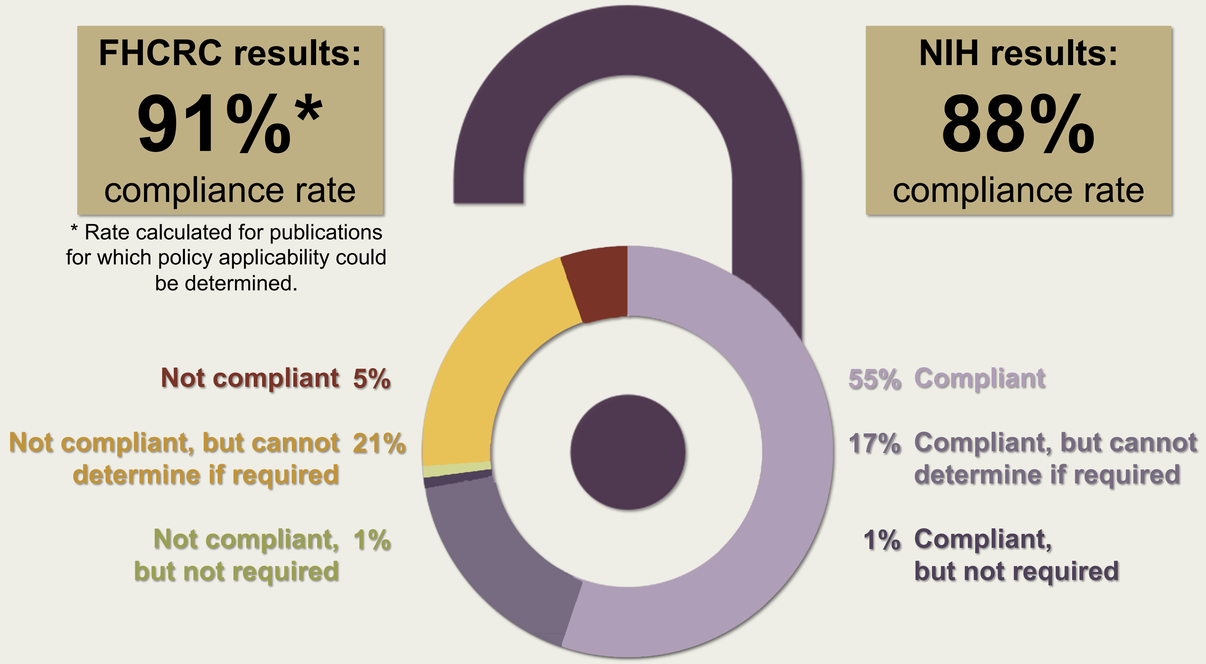
Phase III. Recommend
Provided recommendations for future interventions and compliance tracking based on the findings in Phase II.

Results

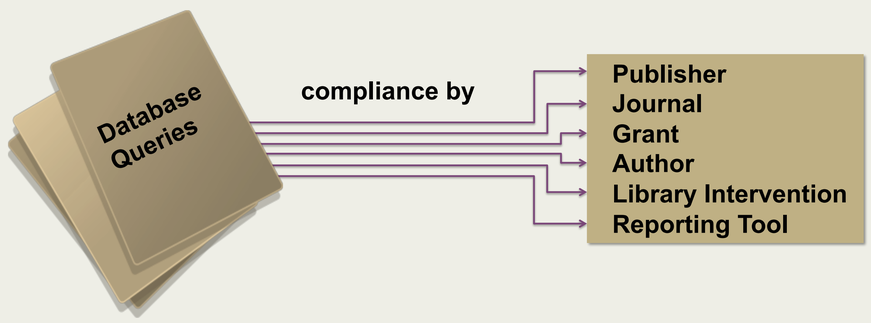
FHCRC results:
91%*
compliance rate

* Rate calculated for publications for which policy applicability could be determined.

NIH results:
88%
compliance rate



Compliance Factors



Compliance by Reporting Tool

FHCRC tool	NIH tool: Compliant	Not compliant	Not reported
Compliant	1011	0	739
Compliant, but cannot determine if required	221	0	315
Compliant, but not required	2	0	24
Not compliant	13	58	98
Not compliant, but cannot determine if required	9	65	585
Not compliant, but not required	1	2	26
Not reported	392	94	---

Assessment

Overall Compliance
The FHCRC compliance rate was slightly better than the NIH reported figures (91% vs. 88%). Taking the publications for which the policy applicability is uncertain into account, the rate dropped to 73%.

Compliance by Specific Factor
Analysis by journal, publisher and grant provided useful metrics for future interventions. The study of impact by intervention requires further investigation.

FHCRC vs. NIH Reporting
The FHCRC reported more publications than its NIH counterpart, suggesting a more narrow NIH definition of institutional responsibility towards compliance.

Recommendations

Additional Analysis
To better understand the library's impact on the institute's compliance rates, expand the assessment of interventions beyond those tracked by email.

Additional Targeted Interventions
Target specific grantees and authors that regularly publish in specific journals where compliance is low.

Enhanced Intervention Tracking
Adopt a ticket-tracking system or a direct database logging practice that allows for quick database updating and continuous compliance impact.

Hybrid Tracking Tool
To more efficiently track and analyze future compliance, adopt a tool that integrates NIH-reported data with a local intervention-tracking system.

Impact

- FHCRC NIH policy compliance
- understanding of institute's publishing behavior
- external access to FHCRC research
- opportunities for research collaborations
- potential for biomedical advances towards improving human health

FRED HUTCHINSON CANCER RESEARCH CENTER

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Capstone Event | June 6, 2013

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