



Centers for Disease Control  
and Prevention (CDC)  
Atlanta GA 30329-4027

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**Proponent:** Office of Science (OS)  
**Application:** All CDC Locations, Domestic and International  
**Applicable Staff:** CDC Employees and Non-Employees

## PUBLIC ACCESS TO CDC-FUNDED PUBLICATIONS

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### 1. PURPOSE AND SCOPE

This policy provides direction for the preservation of and access to peer-reviewed scholarly publications at the Centers for Disease Control and Prevention (CDC).<sup>1</sup>

This policy applies to all CDC-funded [intramural](#) and [extramural](#) work. More specifically, the requirements of this policy must be adhered to for:

- All peer-reviewed scholarly publications funded by CDC, regardless of the funding mechanism<sup>2</sup> used (e.g., grant, cooperative agreement, contract)
- All peer-reviewed scholarly publications authored or co-authored by CDC employees as part of their official duties and by non-employees working under agreements with CDC, but consistent with their underlying agreement with CDC

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<sup>1</sup> References to CDC also apply to the Agency for Toxic Substances and Disease Registry (ATSDR).

<sup>2</sup> This includes federal financial assistance that an entity receives directly from a federal awarding agency or indirectly from a pass-through entity, as described in [45 C.F.R. § 75.101](#) or [2 C.F.R. § 200.101](#), or a cost-reimbursement contract under the Federal Acquisition Regulation that a non-federal entity receives directly from a federal awarding agency or indirectly from a pass-through entity, as described in [2 CFR 200.101](#): "Applicability of the OMB Uniform Grant Guidance."

This policy applies to all CDC employees<sup>3</sup> and non-employees<sup>4</sup>, consistent with their underlying agreement with CDC,<sup>5</sup> at all locations, domestic and international, and to all CDC's Centers, Institute, and Offices (CIOs) and Business Services Offices (BSOs), which are hereafter collectively called "CDC Components."

## 2. BACKGROUND

Widespread access to peer-reviewed scholarly publications generated with CDC support advances science and improves communication of public health-related information to the public. This policy supports CDC's response to the White House Office of Science and Technology Policy's August 25, 2022 [Memorandum on Increasing Access to the Results of Federally Funded Scientific Research](#). The memorandum requires that all peer-reviewed scholarly publications authored or co-authored by individuals or institutions resulting from federally funded research are made freely available and publicly accessible by default in agency-designated repositories without any embargo or delay after publication.

In addition, CDC implements the public access policy in a manner consistent with applicable provisions of federal copyright law, [17 U.S.C. §§ 1-13](#).

## 3. POLICY

### A. General Requirements

Any peer-reviewed scholarly publication for which there is a CDC author, or for which CDC funded the work described, must have an electronic version of the peer-reviewed, accepted manuscript<sup>6</sup> submitted to the [National Institutes of Health Manuscript Submission \(NIHMS\)](#) upon acceptance for publication. The peer-reviewed, accepted manuscript is the post-peer-reviewed version accepted for publication.

#### ***Manuscripts from Intramural Work***

Manuscripts resulting from [intramural](#) work must be electronically submitted from the eClearance system to the NIHMS system by one of the CDC authors.

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<sup>3</sup> For the purposes of this policy, "employees" consist of members of the Employee Civil Service, Employee Commissioned Corps, Employee Locally Employed Staff (LE Staff), and Employee HHS (Non-CDC/ATSDR

<sup>4</sup> For the purposes of this policy, the term "non-employees" includes individuals who provide consistent services to CDC and/or who maintain a regular presence on a CDC facility, and/or require access to the CDC internal network that is issued a CDC badge, (physical and/or logical access credential) and either funded by CDC managed appropriations or not.

<sup>5</sup> References to CDC also apply to the Agency for Toxic Substances and Disease Registry (ATSDR).

<sup>6</sup> For the purposes of this policy, the term "peer-reviewed, accepted manuscript" is defined as, "the version of a peer-reviewed paper accepted for journal publication, including all modifications from the peer-review process. The NIH Public Access Policy is based on a law that requires investigators to submit "their final, peer-reviewed manuscripts" to PubMed Central at the time of acceptance for publication."

## ***Manuscripts from Extramural Work***

### ***Grant recipients:***<sup>7</sup>

CDC grant recipients who, with award funds, author a publication with no federal employee as a co-author must submit their final peer-reviewed manuscripts into the NIHMS system. This submission is consistent with applicable [HHS grants regulations and policies](#) and grant award documentation and requirements.

### ***Contractors:***

Per the provisions of their underlying contract, CDC contractors who, with award funds, author a publication with no federal employee as a co-author are responsible for submitting the final peer-reviewed manuscripts into the [NIHMS](#) system.

## **B. Proofreading**

All CDC-funded authors who submit manuscripts to NIHMS must then proof the peer-reviewed, accepted manuscripts to ensure no errors were made during the conversion in NIHMS. If the author's meaning was altered during the proofing phase, the lead author is responsible for ensuring corrections are made to the manuscript before posting it to [PubMed Central \(PMC\)](#). Grammatical, formatting, readability, or copy-editing changes that do not alter the meaning of the article are not mandatory.

## **C. Public Availability of Manuscripts**

Once the steps above have been completed, all peer-reviewed scholarly publications authored or co-authored by individuals resulting from CDC-funded activities are made freely available and publicly accessible by default via PMC and [CDC Stacks](#) without any embargo or delay after publication.

## **D. Grants, Cooperative Agreements, and Contracts**

All [Notices of Funding Opportunities](#)<sup>8</sup> for CDC grants or cooperative agreements as well as [requests for proposals](#) for contracts must contain language that ensures compliance with this policy and follows applicable provisions found in the HHS grants regulations and policies, [Office of Management and Budget \(OMB\) Circulars](#), and [Federal Acquisition Regulation \(FAR\)](#).

Budgets associated with these awards should be considered (as appropriate) and include allowable expenses, reasonable publication costs, and costs associated with submission, curation, management of data, and special handling instructions. Such costs may be deemed allowable and consistent with applicable grant or acquisition regulations, policies, and the relevant grant, cooperative agreement, or contract award.

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<sup>7</sup> For purposes of this policy, the term "grant" includes "cooperative agreement."

<sup>8</sup> For the purposes of this policy, "Notices of Funding Opportunities" is defined as "An awarding office's formally issued announcement of the availability of federal funding through one of its financial assistance programs. The announcement invites applications and provides such information as eligibility and evaluation criteria, funding preferences/priorities, how to obtain application kits, and the submission deadline."

## **E. Records Management**

This policy does not alter established requirements related to the transfer of official agency publications to the National Archives as required by [Federal Records Management Requirements](#).

## **F. Effective Dates**

Compliance with this version of the policy is effective for all intramural authors and manuscripts upon finalization of the policy. For extramurally funded authors and manuscripts, compliance with this version of the policy is effective upon the issuance of the next award (new or continuation) after the finalization of the policy.

## **4. RESPONSIBILITIES**

### **A. Office of Science (OS)**

- Maintains Public Access to CDC Funded Publications Policy and the IT systems required to support the policy
- Manages intramural submissions to NIHMS and provides oversight and technical assistance for extramural submissions to [NIHMS](#)
- Monitors and reports compliance with the policy to CDC Components
- Provides CDC Components with information, such as post-scientific clearance compliance reports, to assist in ensuring manuscripts have been properly submitted
- Coordinates with the Office of Financial Resources and others to ensure alignment with their extramural awards and acquisitions guidance, which includes language that supports the Public Access to CDC Funded Publications Policy in all Notice of Funding Opportunities and contract solicitations
- Ensures compliance with applicable provisions found in the [HHS grants regulations and policies](#), [OMB Circulars](#), and [Federal Acquisition Regulation \(FAR\)](#)

### **B. Associate Directors for Science**

- Promote and monitor compliance with the Public Access to CDC Funded Publications Policy

### **C. Employees and Non-Employees**

- Upload an electronic copy of final peer-reviewed manuscripts into the NIH [System](#) (NIHMS) upon acceptance for publication
- Submit to NIHMS, as well as proof the peer-reviewed and accepted manuscripts, ensuring no errors were made during the conversion in the NIHMS
- Submit the PMCID number into eClearance, if the journal submits on behalf of the author to PubMed Central

#### D. Supervisors

- Ensure compliance with the CDC Public Access Policy

#### E. Grant or Contract Recipients

- Submit final peer-reviewed manuscripts to the NIHMS system
- Proof the peer-reviewed, accepted manuscripts to ensure no errors were made during the conversion in NIHMS

#### F. All CDC-Funded Authors

- Ensure compliance with the CDC Public Access Policy (including any provisions in applicable grants, cooperative agreements, or contract awards)
- Ensure any necessary corrections are made to the manuscript before posting to PMC

### 5. REFERENCES

- A. 45 C.F.R. § 75.322 (2015) – [Intangible Property and Copyrights](#)
- B. 45 C.F.R. § 75.365 (2021) – [Restrictions on Public Access to Records](#)
- C. 48 C.F.R. § 15.204-1 (2022) – [Uniform Contract Format](#)
- D. 17 U.S.C. §§ 1-13 (2021) – [Copyrights](#)
- E. 42 U.S.C. § 241 (2023) – [Research and Investigations Generally](#)
- F. Executive Office of the President, Office of Science and Technology Policy. *Memorandum on Increasing Access to the Results of Federally Funded Scientific Research*, dated February 22, 2013, [https://obamawhitehouse.archives.gov/sites/default/files/microsites/ostp/ostp\\_public\\_access\\_memo\\_2013.pdf](https://obamawhitehouse.archives.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf).
- G. GSA. *How to Respond to Pre-Award Notices: Knowing the Details Will Have an Impact*, n.d., <https://www.gsa.gov/cdnstatic/Pre-Award%20Notices%20-%20508%20-%2008272021.pdf>.
- H. NIH. NOT-OD-08-033: *Revised Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research*, dated January 11, 2008, <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>
- I. NIH. *NIH Public Access Policy Details*, dated May 25, 2021, <https://publicaccess.nih.gov/policy.htm>.
- J. NIH. *PubMed Central*, n.d., <https://www.ncbi.nlm.nih.gov/pmc/>
- K. OMB. OMB Circular A-110(a) Section 36: *Intangible Property*, dated September 30, 1999, <https://www.whitehouse.gov/wp-content/uploads/2017/11/Circular-110.pdf>.
- L. OSTP. *OSTP Memo: Increasing Access to the Results of Federally Funded Scientific Research*, dated August 25, 2022, <https://www.whitehouse.gov/wp-content/uploads/2022/08/08-2022-OSTP-Public-Access-Memo.pdf>.

## 6. ACRONYMS AND ABBREVIATIONS

**BSO** – Business Services Offices

**CDC** – Centers for Disease Control and Prevention

**CIO** – Centers, Institute, and Offices

**FAR** – Federal Acquisition Regulation

**HHS** – Department of Health and Human Services

**NIH** – National Institutes of Health

**NIHMS** – National Institutes of Health Manuscript Submission

**NOFO** – Notice of Funding Opportunity

**OMB** – Office of Management and Budget

**OS** – Office of Science

**PMC** – PubMed Central

**PMCID** – PubMed Central identifier

## 7. DEFINITIONS

**CDC Components** – Organizational entities of CDC that are comprised of CIOs and Business Services Offices.

**CDC Stacks** – A free, digital archive of scientific research and literature produced by the CDC.

**Final manuscript** – The final version accepted for journal publication which includes all modifications from the publishing peer review process.

**Intramural work** – Work supported or conducted by CDC staff in its own facilities and/or components.

**Embargo** – The embargo is the period, in months, that the publisher retains exclusive rights to distribute the article.

**Extramural work** – Activities funded through an assistance or acquisition mechanism (e.g., grant, cooperative agreement, or contract).

**NIHMS** – The National Institutes of Health Manuscript Submission system supports the deposit of manuscripts into PubMed Central as required by the public access policies of NIH and other participating funders.

**Notice of Funding Opportunity** – An awarding office's formally issued announcement of the availability of federal funding through one of its financial assistance programs.

**Peer-Reviewed, Accepted Manuscript** – Also referred to as the "Author Manuscript," is the version of a peer-reviewed paper accepted for journal publication, including all modifications from the peer-review process.

**PubMed Central** – A free, full-text archive of biomedical and life sciences journal literature at the U.S. National Institutes of Health's National Library of Medicine.

**PMCID** – The PubMed Central unique ID number for a manuscript.