NIH Compliance:
Public Access Policy & Biosketch

National Institutes
of Health

Symposium for Research Administrators
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Bioinformatics and Translational Science Librarian
Health Sciences Library
Topics

• NIH Public Access Policy Compliance (publications)
  o Brief Mention: NIH and other federal agency policies for publications and data

• NIH Biosketch (new format requirements)
NIH Public Access Policy Compliance
How Familiar are You with the NIH Public Access Policy?

A. I have done submissions and/or citing

B. I know what it is

C. I am vaguely familiar with it

D. I have not heard of it

E. I’m not sure
NIH Public Access Policy

“The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine’s PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication: Provided, That the NIH shall implement the public access policy in a manner consistent with copyright law.”

http://publicaccess.nih.gov/policy.htm

Division G, Title II, Section 218 of PL 110-161
Implemented by NIH Public Access Policy (11 Jan 2008)
Enacted as law by Omnibus Appropriations Act of 2009
# NIH Public Access Policy Parameters

**Who**  
NIH funding (investigators with grants, contracts, cooperative agreements; NIH employees)

**What**  
Peer-reviewed journal articles  
Accepted for publication on or after April 7th, 2008

**When**  
- Submit **upon acceptance** for publication  
- PMCID must be assigned **within 3 months** of publication  
- Publically available **within 12 months** of publication

**Where**  
PubMed Central (PMC)

**How**  
Cite PMCID in applications, progress reports, and renewals (consequences for noncompliance)
NIH Public Access Policy: Summary

• Basics
  – NIH funding will be delayed or otherwise in jeopardy if you are not in compliance with the NIH Public Access Policy
  – Submit peer-reviewed journal articles, accepted for publication on or after April 7th 2008, funded by NIH (includes training grants)
  – Submit upon acceptance so PMCID assigned by 3 months post-publication and article publicly available in PMC within 12 months of publication

• How to comply
  – Address copyright
  – Submit article or monitor publisher’s submission
  – Cite PMCID in NIH applications, progress reports, renewals. Use My NCBI to enter publications into progress reports.

• Manage compliance
  – My NCBI: link to eRA Commons account
  – Delegates can help authors/investigators
How to Comply & Timing

Details on these 3 Compliance Steps in Supplementary Materials

1. Preparing a manuscript
   - Address copyright
     - show me

2. Accepted for publication
   - Post it to PubMed Central and track it in My NCBI
     - show me

3. Reporting to NIH
   - Include PMCID in citations
     - show me
Managing Compliance

• Who is responsible?
  – PIs and institution

• Consequences of non-compliance
  – Delay funds
  – Place special conditions on award
  – Prevent future awards for specified period

• How to ensure compliance
  – Plan ahead
  – Use My NCBI
  – Associate papers with awards
  – Prompt author approvals
  – Confirm compliance before reports are due
Managing Compliance: My NCBI

Personalized account integrated with National Center for Biotechnology Information (NCBI) databases

- Used to save searches and citations
- Manage NIH compliance with My Bibliography

Reminder: You **MUST** use My NCBI to enter publications into NIH reports! (effective July 1, 2013)
Do you have a *My NCBI* account?

(free NCBI account; typically used to save searches in PubMed)

A. Yes

B. No

C. Not sure
Do you have an eRA Commons account?

A. Yes

B. No

C. Not sure
Sign In to My NCBI

or Google “My NCBI”
My NCBI Tour (demo)

• Login options (in general: eRA Commons login for investigators; NCBI login for delegates)

• Link My NCBI account to eRA Commons account (For investigators; a critical step for compliance management)

• Adding citations to My Bibliography (author search + "chapel hill"[Affiliation] AND author manuscript[filter])

• Awards view (activated by linking eRA Commons account; enables compliance tracking and ability to attach grants to pubs)

• Assigning delegates (enables others to help manage your bibliography and biosketch)

See also My NCBI slides in Supplementary Materials
Managing Compliance: Delegates

• What is a delegate?
  – Person granted access to an investigator’s My Bibliography (and/or SciENcv Biosketches)

• What can a delegate do?
  – Modify My Bibliography (and/or SciENcv Biosketches)
  – Monitor compliance
  – Connect publications to grants/awards
  – Submit article via NIHMS with MyNCBI login info (Method C, task 1)

• See HSL NIH compliance guide for details on assigning delegates: http://guides.lib.unc.edu/compliance
Other Federal Public Access Policies

• On February 22, 2013, the Director of the White House Office of Science and Technology Policy (OSTP), Dr. John Holdren, issued a memorandum to all agency and department heads entitled, “Increasing Access to the Results of Federally Funded Scientific Research.” The memo directed federal agencies with more than $100 million in annual conduct of research and development to develop plans for increasing public access to peer-reviewed scientific publications and digital data resulting from federally funded research investments.

• More information at: http://www.whitehouse.gov/administration/eop/ostp/library/publicaccesspolicy
### Overview of OSTP Responses

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<td>Full Coverage</td>
<td>Partial Coverage</td>
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<td>Published Outputs</td>
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Other Federal Public Access Policies

• Be on the Look Out For:
  – Other Federal Agencies Public Access Policies for publications and data: AHRQ, DOD, FDA, CDC, NSF, VA…
  – Other Agencies to Release Policies
  – Clarification & Explanation of Policies

• More Information:
  – White House Office of Science and Technology Policy
    http://www.whitehouse.gov/administration/eop/ostp/library/publicaccesspolicy
  – Dept of Health and Human Services Open Government
    http://www.hhs.gov/open/public-access/index.html
Sources of Help

Public Access Policies

• Guides from the Health Sciences Library
  – Available Federal Agency Public Access Plans for pubs and data (OSTP responses): http://guides.lib.unc.edu/researchdatatoolkit

• Classes – HSL offers hands on classes regularly

• Contact Health Sciences Library
  – http://asklib.hsl.unc.edu/

• Help Desks (see Help page links in HSL guide)
  – eRA Commons Help Desk: Help with eRA Commons accounts
  – NIHMS Help Desk: Help with manuscript submission or approval
  – NCBI Help Desk: Help with My NCBI accounts or delegate assignment
  – NIH Public Access Policy Help Desk: Help with general policy questions
New NIH Biosketch
Do you need to produce an NIH Biosketch for yourself or for someone else to include in an NIH grant application?

A. Yes

B. No
New NIH Biosketch Format

• All NIH and AHRQ applications submitted on or after May 25, 2015 must use the new format.
  – Standard format
  – Fellowships-specific formats

NIH announced a change in the format for the Biosketch for NIH and AHRQ applications in late 2014.
  – NOT-OD-15-024 (11/28/14) - announces new format and effective date of 1/25/2015
# Summary of Biosketch Changes

<table>
<thead>
<tr>
<th>Old Format</th>
<th>New Format</th>
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<tbody>
<tr>
<td><strong>4 page limit</strong></td>
<td><strong>5 page limit</strong></td>
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<tr>
<td><strong>Personal Statement</strong></td>
<td><strong>Personal Statement + up to 4 peer reviewed references</strong></td>
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<tr>
<td></td>
<td><strong>5 &quot;Contributions to Science&quot; + up to 4 references for each contribution (variety of research products can be cited)</strong></td>
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<tr>
<td><strong>15 selected refs</strong></td>
<td><strong>Up to 24 selected references</strong></td>
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<td></td>
<td><strong>Link to online bibliography</strong></td>
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Adapted from: Best Foot Forward – Navigating the New NIH Biosketch, presentation by David Carroll, PhD, NC TraCS, January 8, 2015
Contributions to Science: Contents

“Significant Contributions to Science”

- indicate the historical background that frames the scientific problem
- the central finding(s)
- the influence of the finding(s) on the progress of science or the application of those finding(s) to health or technology
- your specific role in the described work.

From: Best Foot Forward – Navigating the New NIH Biosketch, presentation by David Carroll, PhD, NC TraCS, January 8, 2015
C. Contribution to Science

My early publications directly addressed the fact that substance abuse is often overlooked in older adults. However, because many older adults were raised during an era of increased drug and alcohol use, there are reasons to believe that this will become an increasing issue as the population ages. These publications found that older adults appear in a variety of primary care settings or seek mental health providers to deal with emerging addiction problems. These publications document this emerging problem but guide primary care providers and geriatric mental health providers to recognize symptoms, assess the nature of the problem and apply the necessary interventions. By providing evidence and simple clinical approaches, this body of work has changed the standards of care for addicted older adults and will continue to provide assistance in relevant medical settings well into the future. I served as the primary investigator or co-investigator in all of these studies.


Contributions to Science: References

...can include a wide array of research products......

“For each of these contributions, reference up to four peer-reviewed publications or other non-publication research products (can include audio or video products; patents; data and research materials; databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware) that are relevant to the described contribution. The description of each contribution should be no longer than one half page including figures and citations.”

• A URL for full publication list now permitted (but not in the text) - no other URLs (http://grants.nih.gov/grants/policy/faq_biosketches.htm#4382)

• Must provide full URL (“http:// etc etc”) [My NCBI creates this for you]

Adapted from: Best Foot Forward – Navigating the New NIH Biosketch, presentation by David Carroll, PhD, NC TraCS, January 8, 2015
Getting started!

My NCBI & SciENcv


- Generate **URL** to full bibliography for inclusion in NIH biosketch with My Bibliography (part of My NCBI)

- Create online biosketch(es) in **SciENcv** (recommended)
  - Pull in content from My Bibliography (citations), eRA Commons, ORCID
  - Copy and edit a previous SciENcv biosketch
  - Copy and paste from previous biosketch in Word document
  - Outputs biosketch in Word, PDF or XML formats

Note: NIH provides a Word template if you prefer to create your Biosketch in Word and convert to PDF on your own: http://grants.nih.gov/grants/funding/424/index.htm#biosketch
Biosketch / Contrib2Sci Take Aways

➢ Contributions to Science (C2S) address “Science”, rather than the specific application – will require only gradual updating (unlike Personal Statement)

➢ Keep it short and simple
  • You’re allowed ½ page per contribution – you don’t have to fill up the page
  • You’re allowed 5 items – you don’t have to include 5.
  • Bullet points
  • Be realistic about what is considered “significant”

➢ What is the early career investigator to do?
  • Citation counts / journal impact factors / author h-index
  • Doctoral work

➢ Start now to be ready to go for upcoming applications – use My Bibliography and SciENcv to facilitate the process

Adapted from: Best Foot Forward – Navigating the New NIH Biosketch, presentation by David Carroll, PhD, NC TraCS, January 8, 2015
Sources of Help

**NIH Biosketch**

- **Guides from the Health Sciences Library**
  - [http://guides.lib.unc.edu/nihbiosketch](http://guides.lib.unc.edu/nihbiosketch)
  - [http://guides.lib.unc.edu/measureimpact](http://guides.lib.unc.edu/measureimpact)

- **Contact Health Sciences Library**
  - [http://asklib.hsl.unc.edu/](http://asklib.hsl.unc.edu/)

- **Upcoming information sessions**
  - TraCS, David Carroll, PhD (see NC TraCS website/calendar)
  - HSL: open sessions scheduled regularly

- **NIH Guidance (linked on HSL Biosketch guide)**
New Guide for Research Administrators

Research Professionals Resources

http://guides.lib.unc.edu/RPR
Your Questions?

Need Assistance?
Contact:
Health Sciences Library
Ask-a-Librarian
http://asklib.hsl.unc.edu/
Supplemental Material Section
More Details on Submission Methods for NIH Public Access Policy

National Institutes of Health
How to Comply: Address Copyright

(Manuscript preparation)

• **Inform journal** that paper is NIH funded

• **Review publisher copyright agreement** – ensure authors retain the rights to submit final peer-reviewed manuscript to PMC

• **Determine:**
  – Who will submit to PMC
  – Which version to submit
  – When article may be made publicly available (embargo period)

**Definitions:**

- **Embargo**: The time period, in months, that the publisher retains rights to distribution of the article. Upon submission to PMC and until the embargo period passes, PMC will provide a brief record of the manuscript, but will deny access to the full text.
How to Comply: Submit Paper
(Upon acceptance for publication)

• Determine submission method to use
  • 4 methods (A, B, C, D); New “identification wizard” to identify method for specific journal: [http://publicaccess.nih.gov/submit_process.htm](http://publicaccess.nih.gov/submit_process.htm)
  • Journal may do some or all of the work for you (A & B w/ fee)
  • Method C: Author, Investigator or Delegate starts the submission process
  • Authors/Investigators must complete the approval steps

• All NIHMS tasks must be complete within 3 months of publication
# Submission Method A

## Summary

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<tbody>
<tr>
<td>Final published article</td>
<td>Journal, direct to PMC</td>
<td>N/A</td>
<td>N/A</td>
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</table>

**Journal deposits all NIH-funded articles in PMC**

## Author/Investigator Responsibilities:

- Make sure journal knows to submit article
- Watch for PMCID assignment in My NCBI
- Make sure journal submits final published version

## List of Method A Journals:

[http://publicaccess.nih.gov/submit_process_journals.htm](http://publicaccess.nih.gov/submit_process_journals.htm)
## Submission Method B

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<tbody>
<tr>
<td>Author asks publisher to deposit specific article in PMC</td>
<td>Final published article</td>
<td>Journal, direct to PMC</td>
<td>N/A</td>
<td>N/A</td>
</tr>
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</table>

### Author/Investigator Responsibilities:

- Request journal to submit article
- Pay fee (if applicable)
- Watch for PMCID assignment in My NCBI
- Make sure journal submits final published version

List of Method B Publishers:

[http://publicaccess.nih.gov/select_deposit_publishers.htm#b](http://publicaccess.nih.gov/select_deposit_publishers.htm#b)
## Submission Method C

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<tbody>
<tr>
<td>Author deposits article in PMC via NIHMS</td>
<td>Final peer-reviewed manuscript</td>
<td>Author or delegate, via NIHMS</td>
<td>Author, via NIHMS</td>
<td>Author, via NIHMS</td>
</tr>
</tbody>
</table>

### Author/Investigator Responsibilities:

- Submit files (final, peer-reviewed manuscript, tables, figures, etc.) Delegates can perform this step.
- Approve PDF receipt of content for processing by NIHMS
- Approve formatting of PMC manuscript
- Watch for PMCID assignment in My NCBI
## Submission Method D

### Author/Investigator Responsibilities:

- Make sure journal submits manuscript files
- Approve PDF receipt for processing
- Approve formatting of PMC manuscript
- Watch for PMCID assignment in My NCBI

### List of Method D Publishers:


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<tbody>
<tr>
<td>Publisher deposits via NIHMS, author completes submission</td>
<td>Final peer-reviewed manuscript</td>
<td>Publisher, via NIHMS</td>
<td>Author, via NIHMS</td>
<td>Author, via NIHMS</td>
</tr>
</tbody>
</table>
How to Comply: Submit Paper
(Upon acceptance for publication)

For Methods C & D: Submission via NIHMS

• **Task 1**: Deposit manuscript and link to NIH funding
  – Author or delegate; Publisher

• **Task 2**: Approve manuscript submission
  – Author

• **Task 3**: Approve PMC-formatted manuscript
  – Author; NIHMS emails the author designated as “reviewer” in NIHMS

• Following completion of all tasks
  – Watch for PMCID assignment in My NCBI
  – PMC makes papers available after embargo period
How to Comply: Submit Paper

(Upon acceptance for publication)

For Methods C & D (NIHMS), you will need:

• eRA Commons or My NCBI account information
• Journal name
• Manuscript title
• Grant numbers
• Manuscript files
• Journal embargo period
How to Comply: NIHMS System

New interface released January 28, 2015

Always use the same login route!!
How to Comply: Submit Paper
(Retrospective Submission)

• Contact Journal
  – Request written permission to submit to PMC
• Determine Embargo
• Double-Check Copyright
• Determine Responsibility
  – Which author will submit?
• Deposit the Manuscript: recommend Method C
How to Comply: Cite

(When reporting to NIH)

• For all NIH:
  – Applications
  – Progress reports
  – Renewals

• You must Cite
  – Using PMCID (or short term substitute) in citations for all publications
    • Subject to the NIH Public Access Policy
    AND
    • Authored by PI or that arose from their NIH award
How to Comply: Cite
(When reporting to NIH)

In press or less than 3 months post-publication in journal

- **PMCID**, if available or
- Methods A and B: ‘PMC Journal-In Process’
- Methods C and D: **NIHMSID**

3 months post-publication in journal

- All methods: **PMCID**

Assignment of PMCIDs is estimated at 4 weeks once the submission is approved by the submitting author for processing. The status of your submissions can be tracked on your manuscript list under the "status" column.
How to Comply: Cite

(When reporting to NIH)

• Find PMCID
  – Citation in My Bibliography
  – Citation in PubMed
  – Citation in PMC
  – PMID:PMCID converter

• The Goal:
Managing Compliance: My NCBI

Login Options

My NCBI username and password  OR  Partner organization username and password

Sign in directly to NCBI

NCBI Username:

Password:

Sign In

Forgot NCBI username or password?
Register for an NCBI account

Sign in to NCBI

Last signed in from this computer with: University of North Carolina at Chapel Hill

Sign in with

Google  NIH Login

eRA Commons users should sign in via the NIH Login

See more 3rd party sign in options
# Managing Compliance: My NCBI Login Guidance

<table>
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<tr>
<th>I Am a...</th>
<th>Existing My NCBI Account</th>
<th>Existing eRA Commons Account</th>
<th>Initial My NCBI Login Method</th>
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<tbody>
<tr>
<td>Investigator</td>
<td>No</td>
<td>Yes</td>
<td>Use eRA Commons account information</td>
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<tr>
<td>Investigator</td>
<td>Yes</td>
<td>Yes</td>
<td>Use My NCBI account information, then link to eRA Commons account</td>
</tr>
<tr>
<td>Delegate</td>
<td>No</td>
<td>No</td>
<td>Register for My NCBI account</td>
</tr>
</tbody>
</table>
Managing Compliance: My NCBI

Link My NCBI and eRA Commons

• Link eRA Commons account to My NCBI account
  – My Bibliography citations display in eRA Commons
  – NIH grants in eRA Commons show in My NCBI
  – Enables Award View
Managing Compliance: My NCBI

How to Link Accounts

**NCBI Account Settings**

- **Login:** hayesb
- **E-mail:** bhayes@email.unc.edu (confirmed)
  - This email is used for password recovery and delivery of saved searches.
- **Password:** *********
- **Security Question:**
- **Linked Accounts:** University of North Carolina at Chapel Hill (bhayes@email.unc.edu)
  eRA Commons (bhayes@email.unc.edu)
Managing Compliance: My NCBI

How to Link Accounts

1. Search for “NIH” (or scroll down)

2. Select “NIH & eRA Commons” to link your eRA Commons account to your My NCBI account
Managing Compliance: My Bibliography

• Add citations:
  – From PubMed
  – Manually

• Use Award View to:
  – Track NIH Public Access Policy compliance
  – Start the compliance process
  – Associate citation with funding
  – Create bibliography for progress reports

Managing Compliance: My Bibliography

Awards View

Display Settings: List view, Sort by date, group by citation type

- View: List, Print, Award
- Sort by: Date (newest to oldest), Author (A to Z), Title (A to Z), Public Access Compliance, Reverse
- Grouping: None, By citation type, Award

Apply
Managing Compliance: Award View in My Bibliography

**Green**: Compliant

**Yellow**: In-process at NIHMS

**Red**: Non-compliant

?? : Cannot determine status

**N/A**: PAP does not apply
Managing Compliance: Delegates

• What is a delegate?
  – Person granted access to your My Bibliography (and/or SciENcv Biosketches)

• What can a delegate do?
  – Modify My Bibliography (and/or SciENcv Biosketches)
  – Monitor compliance
  – Connect publications to grants/awards
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