

PUBLICATION OF PAPERS

1. **PURPOSE:** To establish procedures, assign responsibilities, and specify authority for ensuring that the contributions of the Louis Stokes Cleveland Department of Veterans Affairs Medical Center (LSCDVAMC) to research are appropriately acknowledged and publicly disclosed and for paying reprint, page and illustration charges.

2. **POLICY:** This policy applies to all research where direct or indirect support for the research emanated from VA, in the form of funding, resources (e.g., laboratory space, access to clinics, facilities, etc.), or as a result of the investigator's appointment irrespective of compensation. The policies herein extend to all results, including but not limited to publications, presentations, media interviews, and other professional activities.

3. RESPONSIBILITIES

a. **Medical Center Director.** The medical center Director, or designee, advised and assisted by the Research and Development (R&D) Committee and the Associate Chief of Staff for R&D (ACOS/R) will encourage appropriate presentation and publication of all significant research results to ensure that: 1) VA support for health research is publicly disclosed; 2) VA receives appropriate recognition for its contribution to health research; 3) research presentations are made in a scientifically responsible manner; 4) potential for controversy is anticipated and dealt with appropriately; and 5) that VA research policies and procedures regarding publications and presentations are followed. The medical center Director or designee therefore must:

- 1) Ensure appropriate coordination with local Public Affairs officials.
- 2) Ensure that pending publications and presentations are brought to the attention of LSCDVAMC R&D Committee at the time they are accepted for publication or presentation.
- 3) Ensure observance of any additional policies of the VA Central Office research services regarding the publication and presentation of research results. There are specific requirements for publications by investigators funded by Health Services Research and Development (HSR&D) and Rehabilitation Research and Development (RR&D). Publications by HSR&D investigators shall be coordinated in accordance with procedures described in the VHA Handbook 1204.5a issued by HSR&D, "Required Notification Regarding Publication or Presentation of Research Findings." Investigators funded by RR&D shall refer to VHA Handbooks 1203.1 and 1203.5 regarding the RR&D merit review program and the Journal of Rehabilitation Research and Development for additional information.

b. **Research and Development (R&D) Committee** must perform those responsibilities delegated to it by the medical center Director.

c. **Associate Chief of Staff for Research and Development (ACOS/R)** must perform those responsibilities delegated by the medical center Director.

d. **Investigator.** The investigator shall:

1) Ensure that manuscripts, abstracts, and other presentations are submitted for review by the R&D Committee, or a designee such as the ACOS/R, prior to presentation or publication. This will ensure that the presentation or publication satisfactorily acknowledges VA support and affiliation, protects the privacy of patients/subjects and indicates that the welfare of human and animal subjects was protected and the appropriate Institutional Review Board or Institutional Animal Care and Use Committee approved all research involving human or animal subjects.

2) Acknowledge VA support and/or employment in all presentations or publications of research results.

3) Inform the Research Office at least 8 weeks (or as soon as possible) prior to the expected publication or public presentation.

4) Disclose to the editors any significant Conflicts of Interest that he/she may have in relation to the research.

4. **PROCEDURES:**

a. **Acknowledgement of VA Research Support.** A footnote in research publications resulting from VA funded projects should give credit as follows:

1) "This material is based upon work supported by the Office of Research and Development (add, as applicable: Biomedical Laboratory Research and Development Service OR Health Services Research and Development OR Rehabilitation Research and Development Service OR Cooperative Studies Program OR Clinical Science Research and Development), Department of Veterans Affairs". An equivalent statement would be acceptable.

2) If no direct research funding was provided by VA, but the research involved the use of other VA resources, e.g., facilities, laboratory space, access to clinics or patients, a similar form of acknowledgement shall be included in the publication.

b. **Acknowledgement of VA Employment.** Authors of clinical and research manuscripts, abstracts, books, book chapters, and presentations must acknowledge their employment using the following format "VA Title, VA Service, Louis Stokes Cleveland DVA Medical Center, Cleveland, OH"

1) When the author also holds a faculty appointment, the academic title and school also may be acknowledged.

2) When the Principal Investigator has a 5/8ths or more VA appointment, LSCDVAMC must be named first, regardless whether VA is the primary source of funding or where the funds are administered.

3) Authors or presenters of research results are required to list VA employment first if any of the following conditions apply:

a) Work was funded primarily from VA resources (50 percent or more), either directly or indirectly;

b) The research was conducted primarily in VA facilities; or the

c) First author was a junior scientist (e.g., resident, fellow trainee) whose salary may not have been provided by VA, but who primarily used VA funding or facilities, or whose mentor or supervisor was primarily employed or funded by VA.

c. **VA Acknowledgement in Media Reports.** News media and other individuals outside VA may not understand the contributions and roles of VA in intellectual advances, or VA's collaborative relationships with universities and other affiliated institutions. Accordingly, scientists and physicians with VA salaries and/or funding support must, when presenting their work or discussing it with the news media, make a serious and good-faith effort to obtain appropriate recognition for VA. A serious and good-faith effort requires:

1) Securing a verbal agreement that VA will be cited in news reports before participating in a media interview, or

2) Prior to interviews, providing news media with a document on VA letterhead that:

a) contains the investigator's name, VA title, and VA medical center,

b) explains the importance to VA of citing the investigator's VA employment in any resulting feature, and

c) expresses a preference that the investigator's VA title be used when media time or space limitations permit the use of only one professional title.

3) The media's failure to acknowledge VA support despite an investigator's good-faith effort to comply will not jeopardize the investigator's funding.

d. **Publications by Contractors.** The publication of research results by firms providing contracted services to VA will be governed by terms of the contract. The contract terms must be consistent with the provisions of Handbook 1200.19 with respect to review and acknowledgement of VA support.

e. **Sanctions.** Failure to acknowledge VA support or employment as stipulated above may, at the discretion of the program director for Biomedical Laboratory R&D, Health Services R&D, Rehabilitation R&D, or Clinical Science R&D in VACO, result in discontinuation of current VA R&D funding and/or ineligibility to receive future R&D funding for a period of up to five years. In extreme circumstances, it may also result in the revocation of the privilege to conduct research at the VA.

f. **Retention of research data.** The investigator shall retain research records and raw data for at least six years after publication or completion of the project. When VA investigators leave their laboratories, suitable arrangements should be made to transfer records and data to the new VA location or to archive such records for the necessary time.

g. **Reprints**

1) If the paper is the result of an approved research project principally funded by the VA and performed at the LSCDVAMC, the VA will pay for reprints, including page charges and special illustration charges, if the payment of those charges constitutes a condition for acceptance of the paper by the journal. The Research Service Administrative Office must process the reprint order.

2) Upon receipt of reprints the responsible author shall send two (2) copies to the Research Service Administrative Office. These copies are for the Medical Center library and the Research Office files.

3) A member of the VA staff, who is co-author of a paper resulting from work not funded by the VA, should submit two (2) reprints so that VA participation is put on record.

5. **REFERENCES:** VHA Handbooks 1200.19 (Presentation of Research Results, dated 6/19/2001), 1203.1 (Merit Review Program, dated 7/8/2002), 1203.5 (Journal of Rehabilitation Research and Development, dated 3/19/2002), and 1204.5a, (Required Notification Regarding Publication or Presentation of Research Findings, dated 4/16/2002), and Medical Center Policy 151-001 "Research and Development Committee".

6. **RESCISSION:** Medical Center Policy 151-008 dated September 1, 2007 has been rescinded. The review date for this policy is September 1, 2010.

7. **FOLLOW-UP RESPONSIBILITY:** Associate Chief of Staff for Research

WILLIAM D. MONTAGUE
Medical Center Director