PRESENTATION AND PUBLICATION OF RESEARCH RESULTS

SOP RES-004-RD

VA Portland Health Care System
Portland, OR 97219

Service Line(s):
Research and Development Service

Signatory Authority:
Associate Chief of Staff, Research and Development Service

Effective Date:
April 5, 2021

Responsible Owner:
Administrative Director, Research and Development Service

Recertification Date:
April 5, 2026

1. PURPOSE AND AUTHORITY

a. The purpose of this standard operating procedure (SOP) is to establish a service level policy identifying the requirements for all forms of VA research results, including presentations, manuscripts, abstracts, interviews and other professional activities, for the VA Portland Health Care System (VAPORHCS). This policy will help ensure VAPORHCS affiliation, acknowledgment and relevant subcommittee approval in all such presented and published research results. This SOP must be followed by research personnel who present, publish, review, approve, oversee, support or manage research results.

b. This SOP sets forth mandatory procedures and processes to ensure compliance with VHA Directive 1200.19, Presentation of Research Results dated May 10, 2019; VA Office of Research and Development Program Guide 1203.01, Rehabilitation Research and Development Service dated May 14, 2020; and VA Office of Research and Development Program Guide 1204.01, Health Services Research and Development dated January 1, 2017.

2. PROCEDURES

a. All individuals working in Research Service at the VAPORHCS are required to submit all forms of VA research results, independent of where their name (first, last, and/or middle) appears, to the Research Administration Office prior to submission for publication or other public presentation.

b. **The Investigator** must:

(1) Acknowledge the VA for research that involved either direct or indirect support from the VA, either in the form of research funding, resources (e.g., facilities or patients), or as a result of the investigator's full-time, part-time, or without compensation (WOC) employment status.

(a) This policy extends to all forms of research results, including manuscripts in a scientific journal, as well as other presentations and activities resulting from the research.

(2) **Acknowledge VA Research Support.** All manuscripts and presentations of VA Research results must contain the following (or equivalent) acknowledgement:

(a) *"This work was supported (or supported in part) by (type of award - e.g., Merit Review, Career Development Award, Pilot Project) Award # (award/project number, e.g., I01 RX000123) from the United States (U.S.) Department of Veterans Affairs (add as applicable: Biomedical Laboratory Research and Development; Clinical Sciences Research and Development, including the Cooperative Studies Program; Rehabilitation Research and Development Service; and Health Services Research and Development)."*

(b) If VA provided no direct research funding, but the research involved the use of other VA resources (e.g., facilities or patients), the publications, or presentations must contain a similar acknowledgement. For example, *"This material is the result of work supported with resources and the use of facilities at the (name and location of VA medical center)."*

(3) **Include Disclaimer Requirement.** Publications or presentations must include a disclaimer stating that the contents do not represent the views of the U.S. Department of Veterans Affairs or the United States Government.

(4) **Acknowledge VA Employment.** Authors of research manuscripts, abstracts, books, book chapters, and presentations must acknowledge their employment using the following format: "VA Title, Name of VA Medical Facility, City, and State."

(a) When the work was solely funded by VA, authors must list their VA affiliation first.

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

(5) **Acknowledge VA 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, investigators with VA salaries 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:

(a) Securing a written agreement, or verbal agreement when a written agreement is not possible, that VA will be cited in news reports before participating in a media interview; or

(b) Providing news media, prior to interviews, with a document on VA letterhead that:

1. Contains the investigator's name, VA title, and VA medical center;

2. Explains the importance to VA of citing the investigator's VA employment in any resulting feature; and

3. 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. ***NOTE:*** *The media's failure to acknowledge VA support despite an investigator's good-faith effort to comply does not jeopardize the investigator's funding.*

(6) **Acknowledge VA During Other Professional Activities.** VA support and employment, as appropriate, must be acknowledged during professional activities where research results are being discussed or recognized. Acknowledgement may be verbal (e.g. in receipt of an award) or written (e.g. as in the acceptance of an appointment to a board, in accordance with the nature of the professional activity).

(7) **U.S. Copyright Act. Title 17 United States Code (U.S.C.) Section 105, the U.S. Copyright Act** provides that copyright protection is not available for any "work of the United States Government" defined under the Copyright Act as a work prepared by an U.S. Government employee as part of that person's official duties (17 U.S.C. 101). Consequently, VA employees cannot copyright material prepared in the course of their employment and must decline to sign any copyright assignment. However, they may authorize a publication to publish a submitted article in accordance with their standard editorial policies.

(8) Submit all forms of research results to the PVAMC.Publications@va.gov mail box prior to submission for publication or other public presentation.

(a) Send an email to the PVAMC.Publications@va.gov mail box as soon as possible prior to the expected publication, presentation, media interview, or professional activity where research results are being publicized, presented, recognized, or discussed. The email must include the following:

1. Title of the article, abstract or other publication/presentation document, along with an electronic copy of the abstract, manuscript, poster, etc. that will be published or presented;

2. VA investigators' full names and degrees; and

3. Identification of where the publication or presentation will be made (e.g. journal title, meeting title and date).

(9) **PubMed Central.** Investigators must deposit manuscripts in PubMed Central operated by the National Library of Medicine (NLM) upon acceptance for publication. Manuscripts are made available to the public no later than 12 months after publication in PubMed Central. Specific procedures for depositing manuscripts are detailed at: http://www.research.va.gov/resources/policies/default.cfm .

(10) The final peer-reviewed manuscript must include all graphics and supplemental materials that are associated with the article. ***NOTE:*** *VA investigators receiving*

research funds from entities external to VA (e.g., the National Institutes of Health, Department of Defense) may be subject to public access requirements specific to those funders.

(11) **Health Services Research & Development (HSR&D) Service.** All HSR&D-supported investigators are responsible for notifying VA Central Office when a paper has been accepted for publication, regardless of the source of funding for the project. A copy of the accepted manuscript must also be provided. In addition, PIs are responsible for notifying VA Central Office when a major scientific presentation is planned, regardless of the funding source for the investigator's salary or the research project. ***NOTE:*** *Detailed information on the notification process can be found at HSR&D's Web site at:* http://www.hsrd.research.va.gov .

(12) **Rehabilitation Research & Development (RR&D) Service.** Per VA Office of Research and Development Program Guide 1203.01, Rehabilitation Research and Development Service, visit the FAQ section at http://www.rehab.research.va.gov/faq/index.html to obtain current information regarding RR&D publications.

3. ASSIGNMENT OF RESPONSIBILITIES

a. **The Health Care System Director** is responsible for encouraging appropriate presentation and publication of all significant research results to ensure that:

(1) VA support for research is publicly disclosed;

(2) VA receives appropriate recognition for its contribution to medical and scientific research;

(3) research presentations are made in a scientifically responsible manner;

(4) potential for controversy is anticipated and dealt with appropriately; and

(5) VA research policies and procedures regarding publications, presentations, media interviews, and other professional activities related to the research are followed.

b. **Research Administration Office** is responsible for:

(1) Notifying the VA Office of Research and Development (ORD) Communications staff when:

(a) research results are accepted for publication in a scientific journal;

(b) presentations are scheduled involving a national venue or the media;

(c) media interviews are scheduled; or

(d) professional activities are scheduled or known that involve a national venue or formal recognition.

(2) Ensuring that the notification occurs in advance of the activity whenever possible and, when that is not possible, provides notification at the earliest possible opportunity.

(3) Following the applicable procedures for providing notification and required elements of information, as indicated on the ORD website at: http://www.research.va.gov/resources/policies/pub_notice.cfm .

c. **The Investigator** is responsible for:

(1) Acknowledging VA support (including resources) and/or employment in all forms of research results that are being publicized, presented, recognized, or discussed.

(2) Making available to the public all peer-reviewed publications reporting the results of ORD-funded research without restriction, in accordance with VHA Directive 1200.19.

(3) Submitting all forms of research results to the Research Administration Office (via PVAMC.publications@va.gov) prior to submission for publication or other public presentation.

(4) Notifying PVAMC.publications@va.gov as soon as possible prior to the expected publication, presentation, media interview, or professional activity where VA research results are being publicized, presented, recognized, or discussed.

(5) Notify all other required entities regarding publications or presentation of research findings. ***NOTE:*** *Failure to acknowledge VA support or employment, as stipulated in VHA Directive1200.19, may result in discontinuation of current VA R&D funding and/or ineligibility to receive future R&D funding. In extreme circumstances, it may result in the revocation of the privilege to conduct research in VA.*

(6) Ensuring that any publishing or copyright agreements concerning submitted articles fully comply with this policy.

4. DEFINITIONS

a. **Investigator.** Defined as any individual who conducts research.

5. REFERENCES

a. VHA Directive 1200.19, Presentation of Research Results, dated May 10, 2019, https://vaww.va.gov/vhapublications/publications.cfm?pub=1&order=asc&orderby=pub_Number

b. VA Office of Research and Development Program Guide 1203.01, Rehabilitation Research and Development Service, dated February 13, 2017, https://www.research.va.gov/resources/policies/handbooks.cfm

c. VA Office of Research and Development Program Guide 1204.01, Health Services Research and Development, dated January 1, 2017, https://www.research.va.gov/resources/policies/handbooks.cfm

6. REVIEW

This SOP must be reviewed, at a minimum, at recertification, when there are changes to the governing document, and any regulatory requirement for more frequent review.

7. RECERTIFICATION

This SOP is scheduled for recertification on or before the last working day of April 2026. In the event of contradiction with national policy, the national policy supersedes and controls.

8. SIGNATORY AUTHORITY

DAVID M COHEN 386526
Digitally signed by DAVID M COHEN 386526
Date: 2021.04.08 12:41:28 -07'00'
David M. Cohen, MD
Associate Chief of Staff/R&D Service
Date Approved: 4/8/2021

Merritt H Raitt 388523
Digitally signed by Merritt H Raitt 388523
Date: 2021.04.08 15:06:19 -07'00'
Merritt Raitt, MD
R&D Committee Chairperson
Date Approved: 4/8/2021

NOTE: *The signature remains valid until rescinded by an appropriate administrative action.*

DISTRIBUTION: SOPs are available at:
https://www.va.gov/portlandresearch/R&D_Forms.asp