

# Publications and Presentations Policy

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## I. Publication and Presentation Designations

As the NIH Health Care Systems Research Collaboratory is an NIH-funded Cooperative Agreement, a principal goal of the Collaboratory is to publish high-quality and timely manuscripts that advance knowledge in the peer-reviewed literature and deliver presentations of Collaboratory findings in public forums.

- A. It is recognized that Collaboratory investigators will publish manuscripts, submit abstracts, and deliver presentations that directly reflect Collaboratory-related activities and others that may either mention the Collaboratory or address topics related to Collaboratory activities but that are funded from other sources.
- B. Manuscripts, abstracts, and presentations derived from Collaboratory-funded activities will be designated as Collaboratory publications and presentations.
- C. The Collaboratory includes both individual Demonstration Projects and the Core Working Groups that work closely with the Coordinating Center and the Demonstration Project teams, all of which may develop Collaboratory publications and presentations.
  1. A “Core Working Group publication or presentation” is a manuscript, abstract, or presentation produced by a Core Working Group as part of the Core’s efforts to create generalizable knowledge. For example, a manuscript, abstract, or presentation that reports a comparison of methods for validating phenotypes across Demonstration Projects undertaken by members of a Core is a Core Working Group publication or presentation.
  2. A “Demonstration Project publication or presentation” is a manuscript, abstract, or presentation that deals directly with knowledge derived from a specific Demonstration Project. For example, a manuscript, abstract, or presentation that reports methods or results of a specific Demonstration Project is a Demonstration Project publication or presentation.

Procedures for review of the different categories of publications and presentations are outlined in sections III and IV.

## II. Collaboratory Products, Publications, and Presentations Committee (C3PC)

- A. The Collaboratory Products, Publications, and Presentations Committee (C3PC) consists of Coordinating Center faculty, Demonstration Project investigators, and NIH representatives, as well as nonvoting Coordinating Center staff who serve as committee staff. A chair will be appointed by consensus, rotating annually. Decisions will be made by majority vote, although consensus will be sought in all cases.
- B. The C3PC oversees all Collaboratory-funded publication and presentation activities, with final adjudication of decisions by the Steering Committee as needed.
  - 1. The C3PC reviews and approves (1) proposed Core Working Group manuscripts and abstracts slated for submission; (2) completed Core Working Group manuscripts and abstracts before they are submitted; and (3) Core Working Group presentations before they are made in public forums.
  - 2. Committee staff reviews completed Demonstration Project manuscripts and abstracts before they are submitted to ensure the use of required acknowledgment language and to check for mentions of other Demonstration Projects.
- C. The C3PC also monitors the overall Collaboratory publications pipeline and proposes new topics for cross-Collaboratory publications. A cross-Collaboratory publication may be prepared by an ad hoc working group or by one or more Core Working Groups or Demonstration Project teams.

## III. Procedure for Core Working Group Publications and Presentations

- A. Decisions regarding the content and authorship of Core Working Group publications and presentations will be made by the members of the respective Core Working Group.
  - 1. All Core Working Group members will be given an opportunity for comment. If 10 business days pass without feedback, assent to that version of the manuscript will be assumed.
- B. Core Working Group manuscripts, abstracts, and presentations will be submitted by the author(s) to the Coordinating Center ([nih-collaboratory@dm.duke.edu](mailto:nih-collaboratory@dm.duke.edu)) for delivery to the C3PC chair or the chair's designee, who will have 10 business days to collect and forward comments and suggestions from (a) Core Working Group members, (b) C3PC members, (c) any additional Coordinating Center members involved.

There may be circumstances (for example, if an author is an NIH staff member) wherein an NIH Institute, Center, or Office would require review before submission. Authors are expected to work with NIH staff to determine whether such a review is required and, if so, to ensure that the requirement is addressed before submission.

- C. For draft Core Working Group manuscripts, abstracts, or public presentations that include descriptions of or details about an ongoing Demonstration Project, the C3PC chair or the chair's designee will share the manuscript or other materials with the Demonstration Project principal investigator. Demonstration Project principal investigators will be given the opportunity to review the pertinent section for accuracy, comment on the portrayal of the Demonstration Project, and offer corrections of any errors, but will not exercise any editorial control over other sections of the manuscript. If no response is received from the principal investigator within 10 business days of receiving the manuscript or other materials for review, assent and approval will be assumed. In the event of disagreements between the author(s) and the Demonstration Project principal investigator, the issue will be referred to the Collaboratory Steering Committee chair for adjudication.
- D. An additional 10 days may be taken by the C3PC after comments are generated to adjudicate any resulting editorial changes.
  - 1. Where intractable differences of opinion remain, suggested changes from all sides will be forwarded to the designated coauthors.
  - 2. Comments from any C3PC member, NIH or otherwise, will not constitute official positions of the NIH.
- E. Final editorial authority and the decision to publish will reside with the designated coauthors, although the C3PC will have the right to vote on the designation of the final proposed manuscript as a Collaboratory publication or presentation.
  - 1. Manuscripts, abstracts, and presentations that are not designated as Collaboratory publications or presentations will not be listed on the Collaboratory website and will not benefit directly from any public relations or news brief items published on the Collaboratory website.
- F. Once a Core Working Group manuscript or other material has been accepted for publication or presentation, the lead author or their designee will inform the Coordinating Center staff, who will notify the NIH Program Official and the C3PC chair.
- G. In the event that authors of a publication or presentation must meet an impending deadline for a special issue or call for papers or abstracts, or respond to an invitation to submit within a brief period of time, authors should contact the Coordinating Center to request expedited review of the manuscript, abstract, or presentation. If an expedited review is not possible

before submission, the authors will send such manuscripts or other materials to the Coordinating Center within 10 business days after submission; the C3PC will still consider whether the manuscript or other materials will be designated as a Collaboratory publication or presentation.

#### **IV. Procedure for Demonstration Project Publications and Presentations**

- A. Decisions regarding the content and authorship of Demonstration Project publications and presentations will be made by the individual Demonstration Project Steering Committee, including NIH staff who provide oversight for the project.
- B. Demonstration Project manuscripts, abstracts, and presentations will be submitted by the authors to the Coordinating Center ([nih-collaboratory@dm.duke.edu](mailto:.nih-collaboratory@dm.duke.edu)) at least 10 business days before the planned submission for staff review to ensure the use of required acknowledgment language and to check for mentions of other Demonstration Projects. The committee staff will respond within 10 business days.
- C. For draft Demonstration Project manuscripts, abstracts, or public presentations that include descriptions of or details about an ongoing Demonstration Project other than the authors' own, committee staff notify the C3PC chair and will share the manuscript or other materials with the other Demonstration Project principal investigator. That investigator will be given the opportunity to review the pertinent section for accuracy, comment on the portrayal of the Demonstration Project, and offer corrections of any errors, but will not exercise any editorial control over other sections of the manuscript. If no response is received from the principal investigator within 10 business days of receiving the manuscript or other materials for review, assent and approval will be assumed. In the event of disagreements between the author(s) and the other Demonstration Project principal investigator, the issue will be referred to the Collaboratory Steering Committee chair for adjudication.
- D. There may be circumstances (for example, if an author is an NIH staff member) wherein an NIH Institute, Center, or Office for a given Demonstration Project would require review of a manuscript, abstract, or presentation before its submission. Authors are expected to work with NIH staff to determine whether such a review is required and, if so, to ensure that the requirement is addressed before submission.
- E. Final editorial authority and the decision to publish will reside with the Demonstration Project Steering Committee, including NIH staff who provide oversight for the project. The C3PC will provide advice, suggestions, and assistance with dissemination as needed.

- F. Once the Demonstration Project manuscript, abstract, or presentation has been accepted for publication or presentation, the lead author or their designee will inform the Coordinating Center staff and provide them with a final copy of the accepted publication or presentation.
- G. Other manuscripts, abstracts, and presentations arising from Demonstration Projects without specific aims of being designated as Collaboratory publications or presentations will be provided by Demonstration Project investigators in a listing submitted biannually to the Coordinating Center.
  - 1. The Demonstration Project investigator or C3PC chair may request a manuscript be shared for comment due to high interest.

All Demonstration Project manuscripts, abstracts, and presentations submitted to the Coordinating Center before publication will remain confidential and will not be shared outside the C3PC membership, Core Working Group membership, Coordinating Center principal investigators, and manuscript coauthors.

## V. Acknowledgment of Collaboratory Support for Collaboratory Publications and Presentations

- A. All manuscripts, abstracts, and presentations **derived from or supported solely by the Coordinating Center and one or more Core Working Groups** should include the following acknowledgment: “This work is supported within the National Institutes of Health (NIH) Health Care Systems Research Collaboratory by the NIH Common Fund through cooperative agreement U24AT009676 from the Office of Strategic Coordination within the Office of the NIH Director. [If supplemental funding was provided for specific activities, then the other NIH Institute, Center, or Office providing the support should be acknowledged here.] The views presented here are solely the responsibility of the authors and do not necessarily represent the official views of the National Institutes of Health.”
- B. All manuscripts, abstracts, and presentations **supported by the Coordinating Center and one or more Demonstration Projects (UG3/UH3)** should include the following acknowledgment: “This work is supported within the National Institutes of Health (NIH) Health Care Systems Research Collaboratory by the NIH Common Fund through cooperative agreement U24AT009676 from the Office of Strategic Coordination within the Office of the NIH Director and cooperative agreement [UG3 NUMBER/UH3 NUMBER] from the [NIH INSTITUTE, CENTER, OR OFFICE PROVIDING FUNDING OR OVERSIGHT]. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.”

- C. Projects with **support from NIH Institutes, Centers, and Offices** should include the following acknowledgment: “Research reported in this publication was supported within the National Institutes of Health (NIH) Health Care Systems Research Collaboratory by cooperative agreement [GRANT NUMBER] from the [RELEVANT INSTITUTE/CENTER/OFFICE]. This work also received logistical and technical support from the NIH Collaboratory Coordinating Center through cooperative agreement U24AT009676. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.”
- D. Manuscripts that cite **multiple sources of support** (for example, a project supported by the Coordinating Center U24 grant and one or more NIH Institutes, Centers, or Offices) should list funding sources in declining order of proportional support for the given project: “Research reported in this publication was supported within the National Institutes of Health (NIH) Health Care Systems Research Collaboratory by cooperative agreement [GRANT NUMBER] from the [INSTITUTE/CENTER/OFFICE]. Support was also provided by the NIH Common Fund through cooperative agreement U24AT009676 from the Office of Strategic Coordination within the Office of the NIH Director. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.”
- E. Before issuing a press release concerning results, presentations, or publications derived from this research, authors should notify the relevant NIH Institute, Center, or Office in advance to allow for coordination.