



DEPARTMENT OF THE NAVY
NAVAL MEDICAL RESEARCH CENTER
503 ROBERT GRANT AVENUE
SILVER SPRING, MARYLAND 20910-7500

IN REPLY REFER TO:
NAVMEDRSCHCENINST 5721
OOR

OCT 11 2002

NAVMEDRSCHCENTER INSTRUCTION 5721

From: Commanding Officer, Naval Medical Research Center

Subj: COMMAND PUBLICATIONS PROGRAM

Ref: (a) DoD Directive 5000.1 of 23 October 2000
(b) DoD Directive 3216.2 of 25 March 2002
(c) Standards and Requirements for the Responsible
Conduct of Research, Office of Research Integrity,
Department of Health and Human Services
(d) BUMEDINST 5721.3
(e) BUMED memo 5721 Ser 26B/00U0484 dtd 22 Sep 00

Encl: (1) Command Publications Program Standard Operating
Procedures

1. Purpose. To implement the requirements of references (c) and (d) for the preparation, submission, clearance, processing, and finalization of command publications and presentations for the Naval Medical Research Center (NMRC), the Naval Medical Research Center Detachment (NMRCD), and the Naval Medical Research Center Echelon 4 Commands.

2. Background. Publications and presentations are governed by standards and norms detailed in references (a) through (e). These standards and norms require procedures to ensure an effective system for the processing and integration of research publications, presentations, and related information.

3. Scope.

a. Requirements of this instruction are applicable to all NMRC and NMRCD authors, directorates and departments. Per paragraph 3.a of reference (d), applicable personnel include all military, civilians, contractors, grants personnel, special government consultants, appointees under Intergovernmental Personnel Act (IPA) agreements, and all others whose service is supported by NMRC resources.

OCT I I 2002

b. Except where specifically directed below, Echelon 4 Commands will adapt the provisions of this instruction for local implementation.

c. Per reference (d), "publications" herein are defined as materials prepared for official presentation or publication in scholarly or professional journals, in books or other volumes, in the official proceedings of various professional societies or academies, or for poster and abstract sessions of professional meetings. Of specific applicability are any and all materials that would give public reference or exposure to the mission and policies or procedures of the command, to research metrics and accomplishments, or to any and all matters relevant to Navy Public Affairs.

d. For clarification regarding applicability of these provisions for specific items, investigators must consult with their respective chain of command or with those directed with responsibility for the Command Publications Program (CPP).

4. Responsibility. The Office of Research Administration (ORA) is directed with responsibility for the executive direction of the NMRC/NMRCD Command Publications Program (CPP) and all related policies and procedures. ORA will serve Echelon 4 Commands as a resource for local efforts and initiatives.

5. CPP Procedures. All applicable materials must be processed in accordance with ORA-CPP standard operating procedures found in enclosure (1). While primary responsibility for compliance with each phase rests with investigator-authors and their respective chain of command, ORA will execute a comprehensive notification process to ensure that personnel meet requirements.

6. Echelon 3 Approval Authority. Per paragraph 3 of reference (e), the review and approval of publications is delegated to the Echelon 3 Command level except for those areas of public affairs concern detailed in paragraphs 3.f and 3.g of reference (d) that require review and approval of higher authority.

7. Echelon 4 Command Requirements. Each Echelon 4 Command will establish policies comparable with this instruction and procedures comparable with enclosure (1). For those areas not requiring the review and approval of higher authority as detailed in paragraph 6 above, Echelon 4 Commands are delegated

OCT 11 2002

to exercise review and approval systems for publications and presentations on the local level. However, for these publications, Echelon 4 Commands must submit manuscripts and completed, signed clearance forms for Echelon 3 concurrence en route to higher authority for informational filing. For clearance issues required to be submitted to higher authority for final approval, submissions will be made by Echelon 4 Commands through the NMRC chain of command. All Echelon 4 activities must assign publications to a current work unit and must submit one (1) reprint of each final publication and one (1) presentation copy or executive summary of a presentation to **ORA** for NMRC headquarters work unit files and research records. Submission of Echelon 4 publication reprints or presentation materials/executive summaries can be made on a yearly or other aggregate basis. Electronic submissions (e.g. PDF files) are permissible and encouraged provided all submissions are **cross-platform** files, completely and easily readable, and capable of being printed with complete legibility.

8. Public Affairs Reviews and Approvals. Per reference (d), all Echelon 3 and 4 activities are required to ensure that public affairs chain of command review and approvals are obtained for all publications or related media opportunities initiated, sponsored, or processed by extramural entities, even higher authorities. All relevant materials must receive requisite intramural Command Public Affairs review and approval and/or be referred to the Echelon 3 level or higher when so required. For all Bureau of Medicine and Surgery (**BUMED**) opportunities, all requests, responses, manuscript/materials reviews, and final approvals must be processed within each activity's chain of command and also through the NMRC Echelon 3 chain of command via **ORA**. Per reference (d), materials cannot be published or presented without required chain of command and public affairs prior approvals.

9. Action. This policy is effective immediately.



R. B. OBERST

Distribution:

List(s) A, B, C and D

OCT 11 2002

**Command Publications Program
Standard Operating Procedures
Office of Research Administration
Naval Medical Research Center**

- Encl: (1) Publication/Presentation Clearance Form
(2) Publication Reprint Submission Form (DD 1473)
(3) Publication Acknowledgment Samples
(4) Publications Clearance and Submission Tracking Form

1. Introduction. Publications and presentations are fundamental to scientific scholarship of military medical research and are subject to all requirements of higher authority. Standards and norms require procedures to ensure an effective system and program for publication review, processing, and approval. The NMRC Office of Research Administration (ORA) has responsibility for the Command Publications Program (CPP). ORA executes the multi-phased program below for publication processing and oversight.

2. Multi-Phase Program Procedures. ORA executes and oversees all stages of publication clearance processes. These processes are certified through departmental routing and tracking systems as captured in enclosure (4).

a. Phase I: Preparation Procedures

1. Authors prepare materials consistent with standards and norms required by individual publications, publishing houses, or meeting sponsor norms governing presentations.

2. All manuscripts and materials must be assigned to a Command work unit and must be approved by an author's chain of command with particular attention regarding applicable scientific peer review. Chain of command approval is designated by signatures on the standard routing sheet.

3. Manuscripts must be prepared with disclaimers and any other applicable designations required per regulations and as exemplified in enclosure (3). Manuscripts and other materials must be accompanied by the completed official Navy publication clearance form as found in enclosure (1).

b. Phase II: Submission Procedures

1. After materials have been finalized for submission, they must be routed for approvals through the chain of command of the relevant author prior to submission to ORA.

2. Each level of the chain of command is responsible to ensure adherence to scientific and submission standards including applicable scientific review, work unit assignment and the incorporation of Navy clearance disclaimers and designations, and the completion of the required clearance form.

3. After chain of command approval, materials are submitted to ORA. ORA can accept only those materials that have met all preparatory submission requirements including completion of the required clearance form and the approval of the author's chain of command.

4. When a manuscript or presentation materials have been accepted by ORA, they are placed into an in-process file and a tracking system monitored by assigned ORA personnel.

5. The ORA in-process file and tracking system for submitted materials remain active until materials are published/presented or until withdrawn officially from publication or presentation consideration.

c. Phase III: Clearance Procedures

1. All publication and presentation materials must receive Navy clearance prior to any submission to a publisher or sponsor agency even for potential or preliminary consideration or review. No materials can be published or presented until Navy clearance has been formally granted.

2. Manuscripts submitted to ORA must be accompanied by the completed version of enclosure (1), the Navy publication clearance form. Completion is the responsibility of individual investigators.

3. After receipt of materials with the completed clearance form, ORA reviews and forwards finalized materials through the chain of command for Navy clearance as required. Clearance

OCT 11 2002

approval authority is based upon subject matter detailed in reference (c). Guidance on these matters is available from ORA.

4. With any applicable official correspondence, ORA routes, submits, monitors, and tracks Navy clearance determinations. ORA informs authors and the chain of command immediately in writing upon receipt of determination from the appropriate clearance authority. If needed, ORA may provide official by direction correspondence to publishers or other extramural sponsors indicating if and when official Navy clearance has been granted for publication.

5. When approvals have been made and received, finalized clearance documents are added to in-process files and appropriate entries are made in tracking systems.

6. In all cases, authors must comply without exception to NMRC specific and higher authority timeline requirements. Twenty (20) days are required for Bureau of Medicine and Surgery (BUMED) clearances for sensitive subjects; and, an additional twenty (20) days are required for subjects that require clearance from levels higher than BUMED.

d. Phase IV: Processing and In-Press Procedures

1. Processing and in-press procedures are accomplished under the authority of the individual publication editorial board of an agency or of the agency requesting presentation. Authors are to follow publisher or sponsor requirements for materials that have received Navy clearance for publication/presentation.

2. If a manuscript is not accepted for publication, the author/chain of command is required to notify ORA in writing of the determination to finalize and close the manuscript file and its entry in the ORA tracking system.

3. If a manuscript is required to be amended by publishers, the amended, final version of the manuscript must be submitted by the respective author/chain of command to ORA for addition to official files.

4. When a manuscript is accepted and is given 'in press' status by a publisher, the author/chain of command is required to

notify ORA immediately in writing to update manuscript files and tracking systems.

e. Phase V: Finalization Procedures

1. For publications in journals or books etc, when an accepted in-press manuscript has been published, no later than twenty (20) business days after publication-appearance the author/command must submit three (3) hard reprint copies of the publication with a completed publication submission form as found in enclosure (2). Electronic versions (e.g. PDF files) of reprints are acceptable provided that they are cross-platform files, completely and easily readable, and capable of being printed with complete legibility.

2. For presentations, no later than one (1) week after presentation authors are required to submit three (3) copies of presentation materials [or three (3) executive summaries of presentation materials) with a completed publication submission form as found in enclosure (2). ORA determines whether full presentation materials or executive summaries fulfill submission requirements.

3. Regarding reprints and presentation submissions, one (1) copy is placed in the Command publication archives and one (1) copy is placed in the relevant work unit file per reference (e).

4. The final required reprint copy is submitted by ORA to library or other designated staff for higher agency, congressional and national information entry systems. The final reprint submission will include one (1) copy of the official clearance and one (1) copy of enclosure (2) prior completed by investigators.

3. Publication Promotion and Recognition. Each NMRC activity is strongly encouraged to promote scholarship and professional life through intramural awards and measures of recognition for publications, manuscripts, posters, abstracts, and related professional submissions. Such activities may include but are not limited to awards and competitions based upon peer review.

OCT 1 1 2002

Naval Medical Research Center
Silver Spring, Maryland 20910-7500
CLEARANCE FOR PUBLICATION OR PRESENTATION
NAVMEDRSCHCENINST 5721

Author(s):

Title:

Work Unit # and Title (for COURTESY clearance^(NB), enter N/A):

Protocol # _____ Human Use _____ Animal Use

(NB: Courtesy clearance designation to be applied only for those publications on which authors are named from prior assignments or extramural consultations. In all other cases, publications and presentations must be assigned and credited to one work unit/project. Do not assign to multiple work units/projects.)

Purpose/Forum: (Check all appropriate)

Presentation/briefing/exhibit Journal Article Publication
 Abstract Book Chapter
 TAD/meeting In-house Technical Report

Name, place, and dates of meeting w/Journal title/Book publisher (Identify if a foreign publication/venue):

Publication/Presentation Synopsis: (attach)

*DIRECTORATE REVIEW:

_____ Date _ _

*RESEARCH SERVICES DIRECTORATE REVIEW:

_____ Date _____

*OFFICE OF RESEARCH ADMINISTRATION REVIEW:

_____ Date _ _

*COMMAND APPROVAL:

_____ Date _____

Higher review not required by BUMEDINST 5721.3 This Manuscript/Presentation Is Cleared For Public Disclosure

Navy Disclaimer

Forward to BUMED/Chinfo:

Non-Human Primates Foreign Journal AIDS/HIV/Controversial/Sensitive Potential Media Interest

Special Research Topics (e.g. Persian Gulf, Women's Issues, etc.)

NMRC Publications Program: Ms. Regina E. Hunt (Code 025), Deputy Director for Research Management, Office of Research Administration, Naval Medical Research Center, 503 Robert Grant Avenue, Silver Spring, Maryland 20910-7500. Tel: (301) 319-7407 DSN 285-7407 FAX (301) 319-7277

OCT 11 2002

REPORT NO. _____

**PUBLICATION SUBMISSIONS WORKSHEET (DD FORM 1473)
NAVMEDRSCHCENINST 5721**

INSTRUCTIONS: Fill in **all** information requested below. Submit with three reprints **or** one reprint quality PDF file of each article/book chapter/book to the Command Publications **Program, Office of Research** Administration, Naval Medical Research Center. **ORA will** forward to applicable offices and higher agencies as required **and** needed.

A COPY OF THE APPROVED CLEARANCE MUST ACCOMPANY EACH PUBLICATION.

1. AUTHOR/S:

2. TITLE:

3. PUBLISHED IN:

4. DIRECTORATE/DEPARTMENT:

5. APPLICABLE FULL WORK UNIT NUMBER AND TITLE

8. TYPE OF REPORT: ARTICLE BOOK CHAPTER BOOK

9. TIME PERIOD COVERED
(Period of time during which research reported was conducted)

10. SUBJECT TERMS (Key Words):
(TO BE SUPPLIED BY AUTHOR)

NMRC REVISED EDITION: August 2002

SAMPLES USED FOR DISCLAIMERS (ACKNOWLEDGEMENTS)
for all MSS submissions

ACKNOWLEDGEMENT (#1)

The work was supported by Work Unit Number (WUN) No. _____.⁽¹⁾ The opinions and assertions contained herein are the private ones of the authors and are not to be construed as official or reflecting the views of the Navy Department or the naval service at large.

ACKNOWLEDGEMENT IN COLLABORATION
or
A COURTESY

This work has been supported through collaboration with _____

_____. The opinions expressed in this paper are those of the authors and do not reflect the official policy of the Department of Navy, Department of Defense, or the U. S. Government.

(SAMPLE STATEMENT)

This work has been supported through the U.S. Defense Technology Objective CBD26 unit # A0025 in collaboration with the Institute of Microbiology, German Armed Forces Medical Academy and the Institut in English Kiel, Kopperpähler, Germany. The opinions expressed in this paper are those of the authors and do not reflect the official policy of the Department of Navy, Department of Defense, or the U. S. Government.

ACKNOWLEDGEMENT (#2)

This work was supported by Work Unit Number (WUN) No. _____.⁽¹⁾
~~(2) The opinions and assertions contained herein are the private ones of the author(s) and are not to be construed as official or reflecting the views of the Navy Department or the naval service at large.~~

The authors gratefully acknowledge valuable discussions with Drs. _____ and _____ through the progress of this work. We thank Drs. _____, and _____ for information concerning the original studies; Dr. _____ and _____ for locating some of the data; Ms/Mr. _____ for graphics, and Ms/Mr. _____ for editorial assistance.

OCT I I 2002

ACKNOWLEDGEMENT (#3)

This work was supported by Work UNIT NUMBER (WUN) Nb. _____⁽¹⁾
We are grateful to _____ for his/her _____ insights, as well as _____ for
his/her editorial assistance.

⁽²⁾ The opinions and assertions contained herein are the private ones of the author and are not to be construed as official or reflecting the views of the Navy Department or the naval service at large.

OR,

⁽³⁾The opinions expressed in this paper are those of the authors and do not reflect the official policy of the Department of Navy, Department of Defense, or the U. S. Government.

⁽¹⁾Not all support is via a WUIS. It may be a University Grant or other source of funding. Indicate the source and the accompanying ID number.

⁽²⁾the closing paragraph can vary, but must be included.

• See next page for Human Use and Animal Use statements

HUMAN USE STATEMENT

The study protocol was approved by the Naval Medical Research Center Institutional Review Board (Protocol # _____) in compliance with all Federal regulations governing the protection of human subjects.

ANIMAL DISCLAIMER

The experiments reported herein were conducted according to the principles set forth in the "Guide for the Care and Use of Laboratory Animals," Institute of Laboratory Animals Resources, National Research Council, National Academy Press, 1996.

NAVMEDRSCHEENISNT 5721
 OCT 11 2002

PUBLICATIONS SUBMISSION AND CLEARANCE TRACKING RECORD
 COMMAND **PUBLICATIONS** PROGRAM
 OFFICE OF RESEARCH **ADMINISTRATION**
 NAVAL MEDICAL **RESEARCH** CENTER

Title:

NMRC-Associated Author(s):

Submitted to/for:

ORA Submission Record

	status	Signature	Date
Manuscript Received			
Work unit Assigned			
Clearance Form Complete.			
Acknowledgements Complete			
Chain of Command Approvals			

Publication Clearance Record

	Status	Signature	Date
Clearance Level:			
	<i>Courtesy:</i>		
	<i>Local:</i>		
	<i>Higher Authority:</i>		
	<i>Reason:</i>		
Clearance Routed to:			
Clearance Received from:			
Clearance Notice to Authors			
Clearance Copy to Authors			

Publisher Processing/In-Press Record

	status	Signature	Date
Acceptance/Rejection Notice:			
Modification/Revision			
Receipt of Revised Manuscript			
In-Press status Conferral			

Post-Publication Finalization Record

	Status	Signature	Date
Publication Date			
3 Reprint Submission			
DD1473 Completed/Submitted			
Reprint to Work Unit Archives			
Library/Info Staff Submission			
Reprint Copy			
Clearance Copy			
DD 1473			

Tracking Closed by: _____

Date: _____