

IMI2 Project 101005122 - DRAGON

The RapiD and SecuRe AI enhAnced DiaGnosis, Precision Medicine and Patient EmpOwerment Centered Decision Support System for Coronavirus PaNdemics

WP10 – WP Dissemination and Communication

D10.4 Publication Policy

Lead contributor	#10 European Respiratory Society
Other contributors	#11 European Lung Foundation #7 Radiomics The DRAGON Project Integration Team (PIT) and the Management Board had the opportunity to provide feedback
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Abstract

A dedicated Publication Policy has been developed as part of WP10 on Dissemination and Communication to define within the consortium the process for publication of DRAGON related results, including with regard to authorship. This policy complements the Dissemination and Communication plan already developed for DRAGON (D10.1) as well as reflects what set out in the Grant Agreement and Consortium Agreement.

The Publication Policy also reminds partners of the IMI requirements in terms of dissemination (e.g. acknowledgement sentence, link to IMI website, disclaimer, logos) as well as open access requirements. It also provides a wealth of links to further resources and guidance, including in terms of developing lay summaries aimed at the wider public. The Policy as well as additional resources are available via a dedicate folder within the DRAGON Teams environment. During the project implementation, partners will be regularly reminded (e.g. online consortium meeting, Project Integration Team meetings, internal newsletter) to align with the DRAGON Publication Policy and comply with the IMI requirements.

Methods

N/A

Results

Please see Publication Policy in Annex I below

Discussion

N/A

Conclusion

A dedicated Publication Policy has been developed specifically for the purpose of DRAGON. It will be updated if needed during the implementation of the project.

**DRAGON IMI2 PROJECT - WORK PACKAGE 10 (W10)
PUBLICATION POLICY (task 10.4 / deliverable 10.4) – Version 24.02.21**

1) Overall context- Work Package 10

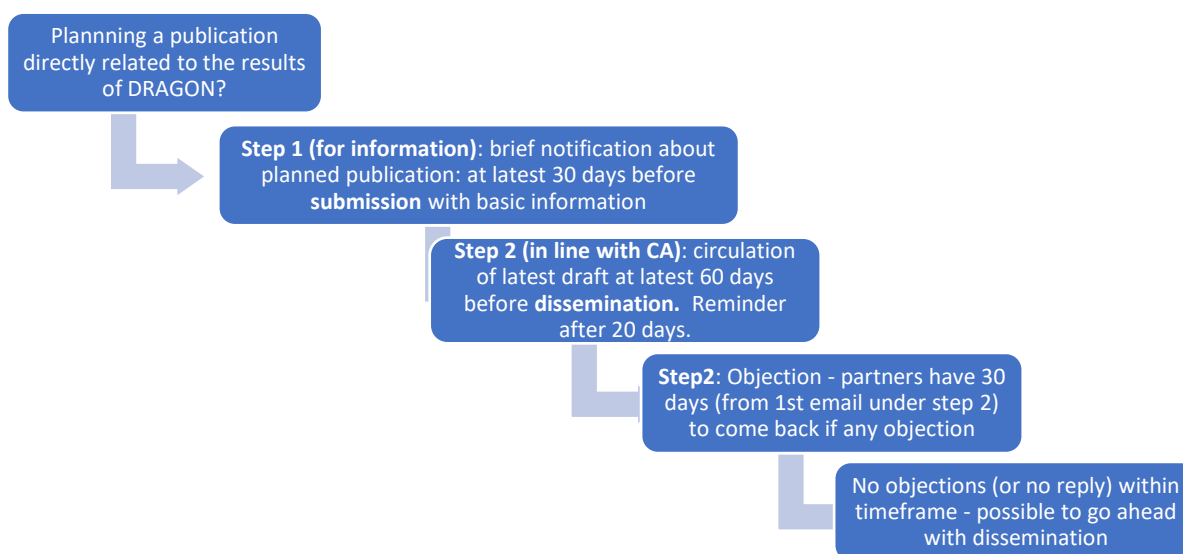
Work Package 10 (WP10) on “Dissemination and Communication” is led by the European Respiratory Society (ERS) with the European Lung Foundation (ELF), in close collaboration with all of DRAGON’s partners. WP10 is a key aspect of the project to maximise visibility as well as impact of DRAGON.

Please read this document in its entirety and ensure that you are aware of the DRAGON Publication Policy. You will find below a quick checklist with key points to take away with you and be aware of for the duration of the project and beyond.

DRAGON PUBLICATIONS – QUICK CHECKLIST

- Is the proposed Publication directly related to DRAGON and its results and does it comply with GA/CA terms (e.g. confidentiality)? - see point 2 of this Publication Policy
- Has the authorship been agreed according to ICMJE guidelines? - see point 3
- Have the mandatory notifications been sent out to the PIs according to timeline? – see point 4
- Has the mandatory funding acknowledgement and disclaimer been included? – see point 5
- Have the relevant logos (IMI, EU emblem, EFPIA, DRAGON) and website links (IMI, DRAGON) been included if possible and appropriate? – see point 5
- Are open access requirements being met? - see point 6
- Has a final copy of the Publication been provided via Teams? – see point 5
- Have ERS/ELF been contacted to help with further dissemination and communication if feasible (e.g. lay summary)? – see point 7

Diagram 1: Please also find a summary of the validation process in line with the GA / CA below. Further information can be found in section 4 hereunder.



2) Publication policy and wider context (dissemination of DRAGON results)

According to the Grant Agreement (GA) with the EU, all partners have an obligation to disseminate results (Article 29) – including in scientific publications – unless it goes against their legitimate interests. This does not change other GA obligations, including protection of results (Article 26-27), confidentiality obligations (Article 36), security obligations (Article 37) and obligation to protect personal data (Article 39), as well as any other requirements of the DRAGON Consortium Agreement (CA). As a reference, Appendix 11 of the CA includes a list of “Permitted Activities” as well as “Prohibited Activities”; the latter may still be permissible, but are subject to the terms of the CA, including those on dissemination and confidential information.

This Publication Policy provides a framework for Publications directly related to DRAGON’s results whether during or after the end of the project, with the aim to foster a collaborative approach and to maximise dissemination opportunities.

DEFINITION: Within this Policy, the term “Publication(s)” will refer to all scientific manuscripts/papers, abstracts, posters and presentations (e.g. scientific conferences) directly related to results generated through the DRAGON project and DRAGON funding. This also refers to Publications planned after the end of the DRAGON project, but related to DRAGON’s results.

Therefore, this Policy does not refer to activities communicating about the project in general on the basis of information already available in the public domain (e.g. editorial in journal, articles in newsletters or the press, abstracts or presentations at conference only providing an overview on the DRAGON project rather than its results). Moreover, it only refers to dissemination of results related to Publications (please see above definition) rather than other means (e.g. press releases, website, newsletters). Finally, this Policy does not refer to Publications which are not directly related to the results of the DRAGON project.

For any communication about the project or dissemination of results - other than in Publications - please refer to the DRAGON Dissemination and Communication Plan (available under the DRAGON Teams environment / General channel / Files).

3) Authorship

All authors in a Publication should fulfil ALL these four criteria in line with the [International Committee for Medical Journal Editors \(ICMJE\)](#) guidelines:

- substantial contributions to either: the conception and design of the work; or the acquisition, analysis or interpretation of data for the work; AND
- drafting the article or revising it critically for important intellectual content; AND
- final approval of the version to be published; AND
- agreement to be accountable for all aspects of the work, in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

All people listed as authors should qualify for authorship according to the above-mentioned criteria, and all those who qualify should be listed. These ICMJE criteria are intended to reserve the status of authorship for those who deserve credit and can take responsibility for the work. Therefore, in principle, all individuals who meet the first criterion should have the opportunity to participate in the review, drafting and final approval of the manuscript.

All those within the DRAGON consortium who meet all the above mentioned four criteria should thus be included as authors from the outset. The list of authors should be clarified as soon as possible at the very beginning of the process; this includes consensus on the “banner authors” (e.g. 1st/2nd and 2nd last/last). For

key papers directly related to DRAGON results, authors are encouraged to include “and the DRAGON IMI consortium” and/or where relevant, “on behalf of the DRAGON IMI consortium” in the authorship list to promote the work and profile of the consortium.

In line with the ICMJE guidelines, contributors who meet fewer than all 4 of the above criteria for authorship should not be listed as authors, but they should be acknowledged. Examples of activities that alone (without other contributions) do not qualify a contributor for authorship are: acquisition of funding; general supervision of a research group or general administrative support; and writing assistance, technical editing, language editing, and proofreading. Please also refer to the [International Committee for Medical Journal Editors \(ICMJE\)](#) guidelines for further guidance.

In case of any dispute / conflict that cannot be resolved by partners directly, the matter will be referred to the DRAGON Project Integration Team first and then – if needed – to the Management Board for final decision, in line with the Project Charter.

4) DRAGON notification process for Publications

A partner that intends to disseminate its results must give **advance notice** to the DRAGON consortium as per GA and CA. In general, partners are encouraged to also inform the consortium of any Publications that may not be directly related to DRAGON results but where there may be some potential overlap or where the DRAGON project is acknowledged.

In relation to Publications directly related to DRAGON, a two-step process will be in place to facilitate planning and a collaborative approach across the consortium, although the information provided will need to remain confidential until it is published.

<p>Step 1 (for information): At the latest 30 days before <u>submission</u> (e.g. of a paper, abstract, etc):</p> <ul style="list-style-type: none"> • This step takes place before <u>submission</u> of the Publication (e.g. paper, abstract) for peer-review. After, it is often too late for any major changes and/or there may be a long timeline between submission vs. the <u>dissemination</u> (i.e. when the content is actually published). As an example, for the ERS Congress, abstract submission is in February every year, acceptance is in May and the actual dissemination (e.g. poster) is in September. • In (less frequent) cases where the gap between the submission and the dissemination is less than 30 days, then it is possible to go straight to step 2 below. • The concerned partner needs to inform by email the DRAGON PIs of the intention to submit a publication providing some <u>basic information</u> (e.g. proposed authors, topic, journal). This will enable agreement to be found on key points (e.g. authorship, confidentiality) prior to submission if needed. • If there are no comments / replies from other partners within the 30 days, then the partner can proceed as planned but still needs to comply with Step 2.
<p>Step 2 – (in line with the CA – article 7.5.2): At the latest 60 days prior to <u>dissemination</u> (e.g. of a paper, abstract, etc):</p> <ul style="list-style-type: none"> • The concerned partner needs to circulate by email to the DRAGON PIs the proposed dissemination providing sufficient information (e.g. <u>latest draft</u> of the manuscript / abstract) on the results it will disseminate. While the timeframe is a minimum of 60 days, partners are encouraged to follow Step 2 as soon as feasible, ideally before the final version of the Publication is accepted. • As per CA, 20 days following the first email, another reminder must be sent out.

- A partner has 30 days from the first email (within Step2) to object, if it can show its legitimate interest in relation to the results or background would be significantly harmed.
- The CA mentions these three reasons for an objection: a) where protection of the objecting partners' own results or background would be adversely affected by the proposed dissemination; b) where the proposed dissemination contains confidential information from the objecting partner; or c) where other legitimate interests of the objecting partner are harmed.
- In case of a legitimate objection, the dissemination may thus not take place unless appropriate steps are taken to safeguard the partner's legitimate interests: please refer to the CA (article 7.5.2) for further details.
- In case of no reply by the deadline following the 1st email and the reminder, it will be assumed that there are no objections.
- A fast track process (notification 30 days prior to dissemination) can potentially be used for urgent Publications, but a valid reason(s) for the urgency needs to be clearly stipulated (e.g. invitation to present scientific results at short notice, journal with very short timelines). Please also refer to the CA (article 7.5.2.4) for further details.

Tools:

- For both Step 1 and Step 2 above, partners are asked to contact the PI of each of the DRAGON partners in the consortium by email; a list can be found in the DRAGON contact list in Teams (General Channel / Files) where a specific worksheet called "PI contact per partner" is available.
- It is then up to each PI to inform whoever may be concerned in their own organisation.
- An Excel will be compiled in Teams by ERS (under General Channel / Files / DRAGON Publications & Policy) to serve as a Publication Registry to keep a record of planned and forthcoming publications, in line with the GA.

In case of any dispute / conflict that cannot be resolved by partners directly, the matter will be referred to the DRAGON Project Integration Team first and then – if needed – to the Management Board for final decision, in line with the Project Charter.

Please also refer to **diagram 1** (section 1 above) for a summary of the validation process.

5) IMI communication & dissemination requirements

All Publications need to comply with the IMI requirements for dissemination as also set out in the DRAGON Dissemination and Communication Plan (available via DRAGON Teams). The following need to be included:

- **Formal acknowledgement of IMI support** (GA article 29.4): *"This project has received funding from the [Innovative Medicines Initiative 2 Joint Undertaking \(JU\)](#) under grant agreement No 101005122. The JU receives support from the European Union's Horizon 2020 research and innovation programme and EFPIA"*.
If the character count does not allow the full acknowledgement above to be used, an alternative phrase may be used. For instance: *This work has received support from the EU/EFPIA [Innovative Medicines Initiative 2 Joint Undertaking - DRAGON grant n° 101005122](#).*
- **Disclaimer:** It should be made clear in the text and layout that the Publication reflects the author's view and that neither IMI nor the European Union, EFPIA or the DRAGON consortium, are responsible for any use that may be made of the information contained therein.
- **The EU emblem & IMI JU / EFPIA / DRAGON logos (where possible):** These logos can be downloaded via DRAGON Teams environment (under General channel/ Files) in different formats. A link to the IMI and DRAGON websites should also be provided if feasible.

Some communication formats (e.g. articles in peer reviewed scientific journals) may not allow the inclusion of logos and web addresses; in these cases, the acknowledgement phrase and disclaimer will suffice.

The final, published electronic version of the publication (or abstract and resulting posters/presentations) should be submitted via a [dedicated form](#) to be made available via Teams. This will facilitate the task of the PMO to enter the publications in the EU Participant Portal as a range of information is asked in the system (e.g. DOI number, repository link, whether Gold or Green open access, amount of Gold open access fees).

IMPORTANT: An electronic copy of the final published version need to be provided as soon as possible (at the very latest 2 months after publication date) via a dedicated Teams form.

6) Open Access EU requirement for peer-reviewed, scientific publications

Each partner must comply with the EU requirement for Open Access to peer-reviewed scientific Publications related to results of the DRAGON project, as per GA (article 29.2). Each partner must deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific Publications as soon as possible and at the latest on publication. Moreover, the partner must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific Publications.

Open access to the deposited Publication – via the repository – must be ensured at the latest (2 options):

- Gold Open Access: on publication, if an electronic version is available for free via the publisher; OR
- Green Open Access: after an embargo period of a maximum of six months after publication. Please note that the GA does not allow longer than the 6-month embargo.

Finally, the partner needs to ensure open access – via the repository – to the bibliographic metadata that identifies the deposited Publication. The bibliographic metadata must be in a standard format and must include all of the following:

- the terms "Innovative Medicines Initiative 2 Joint Undertaking", "European Union (EU)", "Horizon 2020" and "EFPIA";
- the name of the action, acronym (DRAGON) and grant number (101005122);
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.

When incurred during the duration of the GA and in compliance with the GA requirements, costs for open access (e.g. processing fees) can be eligible but will come from each partner's own budget for DRAGON. Partners meeting these criteria can claim open access related costs under "Costs for other goods and services" at the end of each financial reporting period in compliance with Article 6 of the GA. In terms of Research Data Pilot, DRAGON is part of this (GA – article 29.3) and a specific data management plan (Work Package 7) will be put in place within the first 6 months for this purpose.

Please also refer to the [IMI2 Project Guidelines for Open Access to Publications and Research Data](#) as well as the NEW [Open access guidelines for projects working on COVID-19 and related topics](#). The latter urges all Horizon2020 COVID-19 projects (including IMI) to provide immediate open access to relevant Publications, data and any other output possible.

On the [IMI website](#), you can also find further information about the [COVID-19 Data Portal](#) (to which several journals such as the European Respiratory Journal have signed up to) and [EU Clinical Trials Database](#). On the EU website, you can also find information about the recent launch of the European Commission scientific publishing service, [Open Research Europe](#), open to Horizon 2020 projects.

7) Communications relating to Publications, including lay summaries

A partner can contact ERS/ELF (WP10) if it feels that there are opportunities to further communicate the results included in a forthcoming Publication. Any communication activities need to comply with IMI requirements and press enquiries will be channelled through the ERS/ELF press office, in collaboration with the concerned authors and WP leaders. Please also refer to the Dissemination and Communication Plan dedicated to DRAGON (available under the Teams environment / General Channel / Files).

Authors should contact ELF (jessica.denning@europeanlung.org) in order to develop lay summaries – in line with the GA - to make the result of the Publications accessible to patients and the public as well as to facilitate communications activities. Please also find some guidance available for writing lay summaries in section 8 hereunder. Links to key DRAGON Publications may also be made available via the DRAGON website.

8) Tools, resources and key reference documents

Available via DRAGON Teams (General channel / Files)

- Grant Agreement (GA)
- Consortium Agreement for DRAGON (CA)
- DRAGON visuals: logo in different formats, powerpoint slide template, letterhead, banner
- EU emblem, IMI & EFPIA logos available via [IMI website](#) as well as via Teams
- DRAGON Dissemination and Communication Plan

IMI / EU resources

- [IMI Communication Guidelines](#)
- [IMI Dissemination Guidelines for IMI2](#)
- [IMI2 Project Guidelines for Open Access to Publications and Research Data](#)
- [IMI Open access guidelines for projects working on COVID-19 and related topics](#)
- [Social media guide for H2020 projects](#) (not IMI specific)
- [COVID-19 Data Portal](#)
- [EU Clinical Trials Database](#)
- [Open Research Europe](#)

Other – including ICMJE and guidance for lay summaries

- [International Committee for Medical Journal Editors \(ICMJE\) guidelines](#)
- [Hemingway Editor](#) (lay summaries)
- [Writing a Good Quality Plain English summary](#)
- [How to write a lay summary](#)
- [Getting the word out: how to talk to the public about your research](#) (ERS Breathe)