CHEL Guidelines for Collaborative Analysis and Publication

Our laboratory is a site of several large transdisciplinary projects funded from multiple sources that together engage 100s of collaborators from dozens of very different academic fields, government agencies, and community groups, across multiple institutions and countries. The following guidelines are meant to help smooth the collaborative use of data and the process of publication in order:

- to encourage and assist individuals interested in using data to gain access;
- to avoid overlap between manuscripts;
- to bridge differences between disciplinary norms about how publication and authorship is determined;
- to ensure that the main research questions that drove relevant research funding are addressed;
- to ensure that manuscripts are completed in a timely manner;
- to ensure that manuscripts are of high quality;
- to ensure that individuals are adequately recognized for their contributions and hard work.

The most successful collaborations also, of course, require both communication and flexibility, so these guidelines should also be applied with that in mind.

A. DATA USE

1. **A very brief proposal should be completed for each proposed manuscript or thesis/dissertation (see form).** The proposal should be submitted to, and discussed with, the relevant Principal Investigator for that project. The PI is often the person taking the lead in any IRB approval, and/or the PI(s) on the grant providing funding for the relevant data collection (usually Alex Brewis and/or Amber Wutich). As deemed appropriate, the proposal would then be circulated to other relevant investigators/staff.

2. The PI will keep a running list of all published manuscripts, proposed manuscripts, and ideas for manuscripts related to each project. This will be available for others to review.

3. Highest priority will be given to analysis and publication of the major research questions that the grant paying for data collection and analysis was designed to address.

4. Highest priority will be given to investigators on the original proposal and/or those involved in running the study; however, in order to encourage wide use of the data set, others are welcome and encouraged to use the data in preparing manuscripts.

5. High priority will also be given to analyses being done for a thesis/dissertation (with an extended timeline permitted—as decided upon between the student and the PI or other investigator serving as the advisor).

6. All key personnel directly involved in design and execution of the study will have access the complete dataset, pending relevant IRB approvals. Only the relevant subset of the data will be sent to authors not involved in the execution of the study, with that dataset constructed depending on the research questions to be addressed in the manuscript.

7. It is the responsibility of first authors to ensure all IRB requirements are being met.
B. AUTHORSHIP AND CREDIT

1. Following ICJME guidelines, authorship credit requires 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data 2) active engagement in drafting the article or revising it critically for important intellectual content, and 3) final approval of the version to be published. Clerical or mechanical contributions (e.g., data entry and checking) to an intellectual product are not grounds for ascribing authorship. Participation solely in the acquisition of funding or overall supervision of the project is also insufficient for authorship.

2. All persons who qualify for authorship should be listed. However, in practical terms, a maximum of six authors per article is expected.

3. Along with authorship credit goes the responsibility for the work, and all authors should have participated sufficiently in the work to take public responsibility for appropriate portions of the content. The lead author has responsibility for the integrity of the work as a whole. Usually the PI(s) will be a co-author on all manuscripts unless agreed upon otherwise; their input on the papers will be expected to ensure quality and consistency of the paper in the context of the wider project.

4. With regard to authorship—the individual who takes the major role in writing the manuscript will be the senior (first) author—unless agreed upon otherwise prior to beginning the work—or unless the work is not progressing in a timely manner or substantial revisions are needed that are not being made in a timely manner.

5. There is no way to objectively formulate guidelines for who should be listed first, second, etc., but authorship order should always be determined solely by magnitude of contribution to the project. Decisions about order of authorship result from open communication and discussions, recognizing that there are very different disciplinary standards (e.g., usually first/second author in social science, last author in science/medicine) so the field in which the work is being published may also be a guide to order.

C. PUBLICATION PROCESSES

1. The expected time from date of proposal submission to manuscript submission is four months. Longer time periods must be discussed and agreed upon with the PI. In order to ensure timely publications; another interested individual may take the role as lead author if there is delay.

2. Co-authors should get back to lead authors with their comments of drafts of papers within a 2 week period.

3. It is the responsibility of the lead author to notify co-authors on status of manuscripts (e.g., in press) and involve co-authors in the development of manuscripts. Lead authors should not submit papers at any stage of the submission process without co-authors having the opportunity to provide feedback.

4. Electronic copies of all submitted and published manuscripts and conference abstracts should be sent to the PI, because these are needed to allow reporting back to the relevant funding agency. For projects funded by NIH and NSF, etc, all final, peer-reviewed manuscripts must be shared in a way to comply with the agency public access policies.

5. Revisions and resubmissions of manuscripts should be done within a one-month period. In order to ensure timely publications, another interested individual may take the role as lead author if there is delay.
6. Lead authors are encouraged to discuss their ideas with members of the research team in order to lead to a better product. Teamwork on papers is strongly encouraged. We will try to provide time for this at lab meetings.

7. **All authors need to review and give their approval on outgoing manuscripts, abstracts, or other types of publications.** Lead authors should notify other authors about tight timelines (e.g., abstracts for conferences) ahead of time. Proofs of manuscripts should be carefully reviewed by the lead author and where relevant by the primary analyst (e.g., biostatistician).

8. All published manuscripts should include an acknowledgement of the relevant funding source, with text provided by the PI. E.g., “This study was supported by….” All others who supported, assisted with, and allowed the research should be acknowledged as inclusively as space allows.

9. For students using datasets for theses or dissertations, they will normally have significant autonomy in preparation of the work so they can be fairly graded. However, in moving from a thesis to external publication, a further request and review process will occur to ensure adequate quality and correct final authorships.

These guidelines were adapted from Project EAT (PI: D. Neumark-Sztainer; Division of Epidemiology and Community Health, School of Public Health, University of Minnesota).
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CHEL Manuscript and Presentation Proposal Form

1. Project/Study/Dataset:
2. Date submitted to the PI:
3. Submitted by:
4. Working title:

5. Research question(s) and hypotheses to be addressed in the proposed manuscript:

6. Lead (senior) author:
7. Analyst:
8. Co-authors:
9. Which of these people listed will need to be included in the relevant IRB? (if you don’t know, please say so)

10. Target journals (include first and second choices):

11. Background/introduction (justify the study):

12. Dataset and variables needed, including dependent and independent variables and covariates. If using survey, please provide the Q numbers. Please be specific as possible as this information will be used to send you a specific dataset for your manuscript.

13. Statistical plan:

14. Proposed timeline
   a. Analyses:
   b. First draft to co-authors:
   c. Second draft to co-authors:
   d. Etc
   e. Submission to target journal:

15. Other comments or questions: