

## Center publication policy for DA011015 (08-07-2009)

The purpose of this policy is to encourage productive use of the Center's data by all investigators, while at the same time maintaining the highest scientific standards, avoiding duplication of effort, and adhering to appropriate use guidelines, acknowledgment of contributions, and human subject protections. This policy statement updates and complements an earlier policy statement (07-24-2000) that is appended.

The current policy is written in the form of informal guidelines, with the expectation that normal collegiality, common sense, and courtesy is in most cases sufficient to guide the process. However, any disputes that may arise will be resolved by the Executive Committee and, ultimately, the Center PI. [The Executive Committee comprises the PIs of the Cores and Components and the Associate Directors of the Center.]

Anyone wishing to use Center data or other resources for a proposed analysis or publication should first submit a brief abstract, and list of lead authors, to the Center PI who will review it and then circulate it to the Executive Committee and other investigators as appropriate for approval. Investigators with appropriate interests in the data (including the investigators who collected the data and who are responsible for the human subjects protections), the analysis (e.g. methods expertise), the scientific ideas, or other contributions to the research, will be invited to be co-authors. Once this has been done, the project description and provisional author list should be added to the Center's list of publications and projects (see below).

Before a paper is submitted for publication, it should be submitted to the Study Coordinator at IBG (currently Sally Ann Rhea) or in Denver (currently Kristen Ehlers) for review of the data collection methods and sample descriptions for their accuracy.

No paper associated with the Center should be submitted for publication without the knowledge and approval of all authors and the Center PI.

All papers must acknowledge the Center grant (DA011015) and other relevant grants.

All published papers must be submitted, by the paper's corresponding author, to PubMed Central in accordance with NIH policy.

To facilitate productive use of the Center resources and adherence to the publication policy, Core A personnel (currently Andy Gross) will maintain a list of publications, works in progress, and proposed projects.

## APPENDIX

### DATA ACCESS, OWNERSHIP, AND PUBLICATION AGREEMENT

DA-11015

July 24, 2000

**Purpose:** This agreement is intended to facilitate the maximum output of high quality scientific papers from our Center by the maximum number of Center faculty, staff, and students.

**Background:** Faculty from University of Colorado's Institute for Behavioral Genetics, Division of Substance Dependence (Department of Psychiatry), and Department of Molecular, Cellular, and Developmental Biology (respectively, IBG, DSD, and MCDB) jointly hold Center Grant DA-11015. Although their Specific Aims clearly are different, Components I and II of this grant produce shared data, with IBG and DSD faculty and staff sharing heavily in the collection, entry and storage of the data. Similarly, MCDB produces genotypic data for Components I and II from biologic samples collected by IBG and DSD. All of these data reside finally on computers at IBG. The agreement applies to data collected to further the aims of Components I, II, V, and VI. It also applies to Components III and IV in respect to the work supported by the Center and recognizing the primacy of pre-existing data sharing and collaborative agreements for the Colorado Adoption Project (III) and the Longitudinal Twin Study (IV) of which those components are just one part..

**Ownership and Access:** Participating faculty of IBG, DSD, and MCDB equally share ownership of the data and shall enjoy equal access to the data. Their post-doctoral fellows and students may access the data with approval of the participating faculty advisor. All share the responsibility to produce high-quality scientific papers from the data. This agreement establishes mechanisms to achieve that purpose and to avoid or resolve disagreements on publication priorities.

**Center Committees:** PI's of each component and core of the Center make up a Center Executive Committee (CEC), which has established an Informatics Committee (IC) in Core B of the Center.

**Accessing the Data:** The chairman of the IC will supply participating faculty members (upon their request) with all necessary passwords, file names and locations, data dictionaries, etc., for accessing any Component I and II data. The Chairman of the IC will maintain a list of which faculty have obtained such access. Access to Components III and IV data will be similarly facilitated, subject to the background proviso.

**Announcing Intention to Publish:** A participating faculty member wishing to prepare a report using the data will obtain in advance appropriate co-authors' agreements to the project, dividing with them responsibility for further research, analysis, and writing on the report. By email the lead author will inform all of the Center's participating faculty of the plan. Absent any disagreement, the authors may proceed. A list of these proposed papers will be maintained on the Center's password-protected web site.

**Disputed Plans to Publish:** Disputes may arise, for example, about authorship ("I should be a co-author on that and have a role in writing it"), or about pre-existing specialty interests ("That's my area, and I always have expected to lead the writing on that topic"), or about prior contributions ("I formulated that hypothesis for the grant application, and my employees collected most of the relevant data on it; I should lead that writing project"), or about non-productivity ("He claimed that topic but has not produced a paper on it in over a year").

**Resolving Disputes:** Unsettled disputes about publication priorities may be brought by any participating faculty member to the CEC for resolution. CEC shall attempt to arbitrate the dispute. Failing that, CEC will vote on a solution, which shall be final. In votes on publication priority and data access issues, only three parties shall vote, representing, respectively, IBG, DSD, and MCDB.

**Factors Considered in Dispute Resolution:** CEC shall not ignore temporal priority (“I got my request in before he did”), but also will consider other important issues, including, but not limited to:

- Members’ history of involvement with the data being considered. E.g., participation in hypothesis selection; writing of original grant and progress reports; selection, improvement, and implementation of data-producing instruments and procedures; organization of data entry or management procedures; selection, development, or implementation of analytic procedures; overall role in production of the data, including scientific supervision of technical staff; previous publications on closely related issues.
- PI’s opinion. In most cases the PI of a component or core would have the major voice in determining priorities for publications arising from that core or component.
- Unique skills of the proposed authors. Special expertise in, e.g., data analysis, molecular biology, clinical implications of the findings.

**Current Participating Faculty:** Participating faculty are listed below, together with a brief synopsis of their history of involvement in the Center and their unique skills. These synopses may be used by CEC in resolving future disputes. [I have done just two, to show how they may differ. Each individual can make his own synopsis].

- Crowley. Over 20 years directing Synergy. Began NIDA-supported studies of Synergy youth in 1990. Supported Carey’s early work there, and began providing data for family study to Fulker about 1993 or ‘94. PI (with Fulker as Co-PI, Hewitt and Cherney as Co-I’s) on 1995 NIDA application for a QTL study. It was not funded, but was re-written as Center Component I, with Crowley as PI (again with Fulker as Co-PI, Hewitt and Cherney as Co-I’s). Passed Component I PI role to Fulker, and Hewitt later assumed that role; Crowley re-assumed it in 2000. Crowley served as Center PI from its beginning (first DeFries, then Hewitt as Co-PI). Responsible for original decisions to use CIDI-SAM and DISC, played a major role in producing Back-Compatible DISC. Oversaw Mikulich’s development of entry and scoring programs for SAM and DISC. Oversaw introduction of research program into Synergy. Handled COMIRB issues for Component I and Center generally. Supervised Denver staff in recruiting and assessing all adolescent patients and some “retro” relatives. Relevant publication interests: description of clinical presentation of patients, etiology of drug abuse.

- Hewitt
- Stallings
- Krauter
- Corley
- DeFries
- Whitmore

- Riggs. Joined the Center in 2000 as PI on Component VI. This component supports smaller-scale pilot studies which provide preliminary data for future grant applications to NIDA related to the unifying aims of the Center. Dr. Riggs’ expertise and research interests have focused on clinical description, assessment, and treatment of comorbid disorders in adolescents with substance use disorders.

- Thompson. Joined Component V in 2000. No previous role in Center. Expertise in neuropsychological testing. Relevant publication interest in lab and clinical assessment of neurobehavioral pathology, such as ADHD.

- Mikulich Has worked for Dr. Crowley since 1987 and has been Director of Data Management and Analysis since 1991 for the Denver site. Has been involved with the Center grant (and the previous grant on Synergy probands) since its inception with a role on Components I, V, and VI and Assessment Core B. Represents Denver on the Informatics Committee within the Assessment Core. Created data dictionaries (item level and summary scores) for DISC and CIDI-SAM. Identified and corrected numerous DSM-IV algorithm errors on the DISC IV. Worked with Crowley to develop DSM-III-R scoring algorithms for Back-compatible DISC. Dr. Mikulich's expertise and research/publication interests include: growth curve and mixed model analyses for longitudinal data, complex covariance structures within linear and nonlinear mixed models, generalized linear and mixture models, circadian rhythm (i.e. cosinor) analyses, delta method applications for transforming nonlinear parameters, and concordance between DSM-III-R and DSM-IV diagnoses.

- Smolen
- Hopfer

- Zerbe Long time statistical collaborator of Tom Crowley and Susan Mikulich in studies of drug dependence. Occasional advisor of graduate students in Biometrics and Epidemiology doing research in quantitative genetics. Participated in the grant application and procurement process

**Addition of New Participating Faculty:** New participating faculty from CU or elsewhere may be added by simple majority vote of the Center Executive Committee.

**Participation after Leaving a CU Position:** Participating faculty who leave the CU active faculty may apply to the Center Executive Committee to continue to be participating faculty. Such requests may be approved with a simple majority vote of CEC.

**Making the Data Available to Others:** To the extent allowed by our subjects' consents and considerations of subject confidentiality, the CEC will make the database available to qualified scientists not associated with the Center at a reasonable time after the end of the Center's Yr 05. IBG, which physically holds the database, may charge reasonable costs (e.g., for mailings, reproduction of data dictionaries, etc.) for this service.