

EU-GEI PUBLICATION AND AUTHORSHIP RULES

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Preamble

The purpose of this document is to help establish a set of rules for publications and authorship in the EU-GEI project, and to outline the decision making processes in relation hereto, with regard to the functions of the EU-GEI *Executive Board (EB)* and the *General Assembly (GA)*.

This document will assure:

1. A good publication strategy
2. An honest authorship policy
3. Compliance with the EU-GEI *Consortium Agreement*

Box 1: Selected relevant sections from the EU-GEI *Consortium Agreement*

Article 14: Organisation

General Assembly as the ultimate decision-making body of the Consortium

Executive Board as the supervisory body for the execution of the Project which shall report to and be accountable to the General Assembly

Article 42: Publication

42.1 Prior notice to any planned publication shall be made 45 days before the publication. Any objection to the planned publication shall be made in accordance with the EC-GA in writing to the Coordinator and the any Party concerned within 30 days after receipt of the notice. The proposed publication shall not take place until the expiry of the above period of 45 days. If no objection is made within the time limit stated above, the publication is permitted.

42.2 An objection is justified if based on the following grounds:

- (i) that the objecting Party considers the protection of intellectual property rights if it Foreground or Background would be adversely affected by the proposed publication,
- (ii) that the proposed publication includes Confidential Information of the objecting Party, or
- (iii) the publication of such information would result in disproportionately great harm to the legitimate interests of the objecting Party.

42.3 The objection has to include for each party of the publication objected to, the grounds of the objection for each objection, indicating which part of the publication the objection is aimed at (individual paragraphs or sentences) and a precise request for necessary modifications (including deletions).

42.4 In the event that an objection is raised in accordance with the above, the Party proposing the publication and the Party objecting shall seek in good faith to agree to a solution whereby the Parties objecting give permission to publish the proposed publication.

42.5 In the event parts of a publication are objected to on ground (i), the publication will be permitted after expiry of a period of six (6) calendar months following the first submission of the proposed publication in accordance with Article 42.1.

42.6 In the event parts of a publication are objected to on grounds (ii) or (iii) the objection(s) will in any case be deemed withdrawn in the event the Party proposing the publication removes the parts objected to from the intended publication.

Article 43: Publication of another Party's Foreground or Background

43.1 For the avoidance of doubt, a Party shall not publish Foreground or Background of another Party, even if such Foreground or Background is amalgamated with the Party's Foreground, without the other Party's prior written approval

43.2 For the avoidance of doubt, the mere absence of an objection according to Article 42.1 is considered as an approval

Criteria for Authorship

The following criteria for Authorship will be used in the Project, (in accordance with the Vancouver rules):

1. Authors have made substantial contributions to:
 - conception and design
 - acquisition of data, or
 - analysis and interpretation of data
2. Authors have been involved in either drafting the manuscript or revising it critically for important intellectual content.
3. All authors have given final approval of the version to be published.

Authors have to fulfil all of the three above-mentioned criteria.

Candidate-authorship:

Working and writing group, with candidate first, second, last and second last authorship:

Upon submitting a synopsis to the EB, the Partner responsible for preparing the synopsis will suggest a 'working¹⁾ and writing' group, including up to two younger scientists and two senior scientists. It will however be sufficient to suggest at least a senior scientist, and seek the advice of the EB for allocating additional members to the 'Working and Writing group'.

First and second authorship

Younger and senior scientists who are members of the 'working and writing group' can be considered as candidates for the first and second authorship, or a shared first authorship. Thus, these members will be given the chance to fulfil the criteria for first and second authorship, and will be allocated as first and second author (or shared first authors), upon fulfilling these criteria.

Last and second last authorship

The senior scientists who are members of the 'working and writing group' will be candidates for the last and second last authorship. Thus, the members will be given the chance to fulfil the criteria for last and second last authorship, and will be allocated as last and second last author, upon fulfilling these criteria.

Group authorship

The group authorship includes the overall group (all EU-GEI partners) and at least one member of the group who takes responsibility for authorship of the article (named individual author). The Group authorship can be used for specific publications transcending Work Packages. It will still be possible to list other authors next to the Group-name on the author list.

The Principal Investigators will propose the authors of the corresponding Parties that are eligible for the Group-author name. The Group-author name will be approved by EB and GA before being used on publications.

The principal investigators of each center (site-leads) can also opt to be named as separate authors on major papers, both within workpackages as well as across work packages, i.e. thus not in the Group authorship.

It will be possible for more authors from one institute/partner to be involved in a publication.

Candidate co-authors:

Upon preparing the synopsis, the Parties, who should be represented with co-authorship on the paper, should be listed. It will then be the responsibility of each of these Parties to name one or two (the number of co-authors varies from paper to paper) candidate co-author who already fulfils the first criteria for authorship. The 'working and writing group' will contact these candidate co-authors during the preparation of the manuscript, and will hereby give the candidate co-authors the chance to contribute to and comment on the manuscript, and approve the final version of the manuscript, hereby qualifying to be co-authors.

¹⁾ The work referred to here is the work related to the publication of the data: literature search, statistical analyses etc.

People with contributions transcending specific work packages (e.g. the coordinator and vice-coordinator as well as others, people with central involvement in preparing assessment instruments, data quality and database) should be considered for authorship on any publication of work carried out in the framework or related to EU-GEI, i.e. publication categories 1-5. Working and writing group are advised to liaise about this with the respective WP leaders and EUGEI coordinator and vice-coordinator.

External authors:

External Parties (outside the EU-GEI Consortium) that have contributed to activities as described in the Annex I to the contract, by means of contributing subjects in Work Packages 2, 5 or 6 or of having other significant contributions, can be nominated by a Party from one of the relevant Work Packages as Author.

The number of subjects contributed to the project will determine the type of authorship: first, second, last, second last or co-authorship.

Deviations from criteria:

In case of particular circumstances a Party can choose to deviate from the general rules for authorship as listed above. In all cases the WP Leader should approve the deviation after consulting with the Executive Board.

Categories for publications

There are three main Categories of Publication likely to arise from the Project. These publications will address the general and specific aims of the project as described in the Work Packages in the DoW (Annex I to the *Contract*).

The three categories are:

1. Publications from integrated work from several Work Packages (1-11)
2. Publications from work from a single Work Package, involving ALL Parties in the Work Package
3. Publications from work from a single Work Package, involving ONLY SOME Parties (or in some cases only one party) in the Work Package.

Two additional categories that can be identified as well, are listed here but are not included in the procedure as described in this document:

4. Publications from a single centre arising from data collected for the *Project's* Work Packages for that centre's subjects or for the other aspects of the work undertaken in that centre only.
5. Subprojects, involving one or more Work Packages and one or more Parties, arising from work done in relation to the project, which is not a part of the projects DoW or Work Packages, as described in Annex I to the *Contract*, but using products generated by activities within the project. For example samples, data from the database etc.

Additional categories 4 and 5 should acknowledge EU-GEI. It will be the responsibility of the corresponding author to inform the WP-leader about these publications (but approval will not need to be obtained) and to send the final accepted paper to the Management Team.

All publications in the above mentioned categories must be published in peer-reviewed journals, and must acknowledge the EU-GEI Consortium and EC funding.²⁾

²⁾ The acknowledgement can found in the ANNEX 1 to the EU-GEI Publication Rules

Preamble

On the basis of the Consortium Agreement, all Parties must be provided with a copy of all synopses, abstracts or manuscripts for publication of knowledge. Each Party may object to the planned publication within an agreed period of time, if they can reasonably show that the protection of Foreground or Background would be adversely affected (see Section H of the Consortium Agreement).

Therefore the consortium has agreed upon a number of housekeeping rules formulated into a number of steps to be followed when preparing a planned publication, and informing the Consortium and enabling all parties to check own Foreground and Background.

For the avoidance of doubt, the mere absence of an objection according to Article 42.1 is considered as an approval in accordance with Article 43.2 of the Consortium Agreement.

General Steps

- Initiation of a synopsis describing the planned publication, including:
 - circulation and approval internally within the Work Package, and for Type 1 publications, within all Work Packages involved.
 - When relevant, check of IPR and patenting aspects with local IPR advisors.
- Get approval from (1) the Executive Board (EB), followed by approval from (2) the General Assembly (GA) [Deadlines for objections are set]
- Collect and analyse data
- Prepare the final or next-to-final publication
- Making the manuscript available to all partners according to the Consortium Agreement to check within 30 days, for Foreground and Background
- An alternative procedure will be followed regarding abstracts, due to the very often limited time schedule and short deadlines for submitting abstracts

The procedures described in the preamble and below shall apply to any planned publication or disclosure of knowledge and/or other Parties Foreground and Background, whether by written or oral means.

The procedures will be coordinated and supported by the Management Team.

PART A

Procedure for approval of synopses for publications

The following steps need to be taken:

1) Following the **internal approval within the Work Package** (or in case of Type 1 publications) of all Work Packages involved and IPR check (aspects regarding foreground, background and patentable findings) with local IPR advisors, the synopsis is sent to the Management Team, who will forward the document to the EB at the set dates.

2) the EB comments on the synopsis within 7 calendar days.

3) The Management Team will forward the comments raised by the EB to the person who submitted the synopsis for approval, always with the Work Package leader in cc.

4) As soon as the synopsis is approved (and -if relevant- any necessary adjustment has been made), the Management Team will alert all partners (General Assembly) that the synopsis is available on the website.

5) GA can appeal to the synopsis within 7 calendar days.

The Management Team will forward the comments raised by the GA to the person who submitted the synopsis for approval, always with the Work Package leader in cc.

6) If necessary the synopsis is revised and resent to the EB and GA.

7) In case that no agreement can be settled the Project Coordinator will make the final decision.

Proposals for any publications based on the *Project* must be presented to, and approved by the Executive Board (EB) and accepted by the General Assembly (GA) as a synopsis (using the standard synopsis form) before any further work on the publication is carried out. The synopsis must include the information requested according to the synopsis form.

The formal approval procedure will be initiated three times per year: **1st of February, June and October***. Please forward the synopses to the management team no later than a week prior to these dates, in order to give the management team time to look at the synopses and provide advice prior to the initiation of the approval procedure.

*** Exception to the rule**

In case of striking ideas or findings a fast tracking procedure can be started, deviating from the normal procedure.

Outline of the Synopsis

The synopsis will be prepared by the person(s) proposing this publication. This will in most cases be all or some of the members of the 'working and writing group'.

The aim of a synopsis is to reserve/claim a specific topic or area of research.

For the synopsis the following format³⁾ should be used:

Synopsis for EU-GEI Publication	
Synopsis no.:	<i>(to be completed by Management team)</i>
Preliminary title:	
Contact info for the person(s) proposing the synopsis	
Name:	
Partner no:	
e-mail address:	
Publication category:	
Working and writing group:	
Work Packages involved:	
Partners involved from whom candidate co-authors (<i>additional to working and writing group</i>) should be nominated:	
Objectives (scientific background, hypothesis, methods, and expected results):	
Data needed for the study:	
Plan for statistical analysis (overall strategy):	
Other analyses/methods:	
Involvement of external Parties (non EU-GEI):	
IPR check:	
Timeframe:	
Additional comments:	

³⁾ The document can be downloaded from the EU-GEI website

Preliminary title:

the preliminary title does not necessarily have to be the expected title for the manuscript, at this stage it can also reflect the work in the light of EU-GEI.

Contact info for the person(s) proposing the synopses

Publication category:

suggested in accordance with the categories listed on page 4

Working and writing group:

4-5 persons in accordance with the description on page 3. The candidates for first, second and last authorship should be indicated. (For Type 1 publications all of the involved WPs should be represented in the working and writing group by at least one member).

Work Packages involved:

listing the Work Packages

Parties involved from whom candidate co-authors should be nominated:

listing the Partner from which co-authors, in addition to the members of the working and writing group, will be appointed. When the synopsis is approved it is the responsibility of the 'working and writing group' to collect the names of the candidate co-authors from each of these centres.

Objective:

a brief listing of the objective(s) of the publication, including a brief description of how this aim is related to the DoW and WPs (as described in Annex I to the Contract), which can include scientific background, hypothesis, aim, methods, and expected results.

Data needed for the study:

describing the overall categories of data which will be included in the work.

Statistical analysis:

describing the overall strategies for the planned statistical analyses.

Other analyses/methods:

especially relevant when using sample material. The type and amount of material should be stated, and it should be clarified who will pay for the identification of the samples in the biobank, out-portioning (if relevant), shipment, and analyses.

Involvement of external Parties (non EU-GEI) :

describe plans for including non-EU-GEI Parties in the work (if relevant).

IPR check:

please consult with your local IPR advisor to check whether the results covered by this synopsis should be considered for IPR and patenting issues. IN ALL CASES please make a note on IPR status in the synopsis.

Timeframe:

the timeframe for literature search, obtaining the data, completing the statistical analyses, first draft of the paper, submission of the paper, and other milestones which may be relevant (estimated guideline: maximum 6 months). If a first draft is not feasible, a progress report can be prepared instead. This progress report needs to describe the expected timeframe in which the study can be completed

Finally there is room for **Additional comments**.

PART B

Procedure for approval of publication of results in the form of Scientific Papers

The following steps need to be taken:

1. Before submission of a paper, the first author should forward the manuscript to the Management Team. This can be the next-to-final version of the manuscript.

A manuscript can be submitted for approval at any given time.

2. The Management team will notify all partners that the manuscript is available on the website. Partners will have 30 calendar days to object to the publication of the results, in accordance with Article 42 of the Consortium Agreement.
3. When relevant, the local IPR advisors (normally of the first and last author, but in some cases also of other co-authors) should be consulted regarding IPR aspects (aspects regarding foreground, background and patentable findings). As described in Part A of these guidelines, IPR aspects should be clarified already in the synopsis procedure. When that is the case, it will be the responsibility of the authors to interact with the local IPR advisors and to undertake the necessary measures before submitting the manuscript.
The Management Team should be kept updated regarding the IPR aspects.
4. The Management Team will inform the first author whether the manuscript can be submitted.
5. In case that no agreement can be settled for point 2, the Project Coordinator will propose a solution. The Parties will have 30 calendar days to object.
6. Immediately following submission the first author should forward the submitted manuscript to the Management Team.
7. Partners will be informed via the member section of the website that a paper has been submitted.
8. Following the submission it is the responsibility of the corresponding author to update the Management Team and the co-authors about the status of the paper and to send the final accepted paper to the Management Team.

PART C

Rules regarding submission of Abstracts

Abstracts can be submitted at any given time, in agreement with the procedure outlined below:

The partner submitting the abstract needs to obtain approval from the Work Package leader, including an IPR-check (aspects regarding foreground, background and patentable findings) before submitting an abstract

The submitter needs to include the following information:

1. the submitted abstract (including the abstract in an attached file)
2. information on the event for which the abstract is submitted (title of event, dates, location)
3. if the abstract is related to an already approved synopses, this should be indicated and the number of the synopsis listed.

The Management team will start the approval process as soon as the information is complete:

1. the EB reviews the abstract for approval within 7 days.
2. The management team will forward the comments raised by the EB to the person who submitted the abstract, with the WP Leader in cc.
3. After approval from the EB the Management Team will alert all partners that the abstract is available on the website. The GA can appeal to the abstracts within 7 calendar days
4. The management team will forward the comments raised by the GA to the person who submitted the abstract, with the WP Leader in cc.
5. If the abstract is not approved, the abstract needs to be withdrawn by submitter.

After the event, the presentation (PowerPoint file, poster etc) needs to be sent to the Management Team for storage and reporting purposes

The senior author of the abstract takes responsibility for following the procedure

PART D
General Presentations

General presentations about the project, as available on the public site of the project website, the standard slide package for dissemination, brochures and flyers can be given without prior notification to the EB and GA.

However it is necessary to inform the coordinator about the activity due to the annual reports to the Commission.

Overview of deadlines per category

Synopses

- Procedure starts 3 times per year (February 1 / June 1 / October 1)
- Executive Board reviews within 7 calendar days (information provided via email)
- General Assembly review within 7 calendar days (information provided via website)

Manuscripts

- Manuscripts can be sent in at any given time
- Executive Board and General Assembly review manuscripts within 30 calendar days (information provided via website)

Abstracts

- Abstracts can be sent at any given time
- Executive Board reviews within 7 calendar days (information provided via email)
- General Assembly review within 7 calendar days (information provided via website)

General Presentations

Not applicable

Survival of the Publication Rules

The Publication Rules will survive the termination of the Project and the Consortium Agreement.

The rules may be simplified after the official end of the Project, but the general principles will continue to apply. In the final Consortium meeting in the 5th Project Year the Publication Rules will be reviewed and all Parties will have the opportunity to accept the rules.

Parties choosing to reject the Publication Rules after the termination of the Project will be considered as external Parties and will have no further influence on the decision-making. For these partners opportunities to publish will continue to exist, but only as external author.

ANNEX 1 to the EU-GEI Publication Rules

Footnotes and acknowledgements for EU-GEI publications

All publications should include the following statement to indicate that they were generated with the assistance of financial support for the Community:

EU-GEI is the acronym of the project 'European network of National Schizophrenia Networks Studying Gene-Environment Interactions'. The research leading to these results has received funding from the European Community's Seventh Framework Programme under grant agreement No. HEALTH-F2-2010-241909 (Project EU-GEI).

The Parties of the project are:

Numbered list of Parties in the contract Partner number sequence (the name of the institution). Numbers should also be used to indicate affiliations of the authors (if the journal will have the affiliated institutions under the list of author then this part of the footnote does not appear).

Part. N°.	Participant name	Participant short name	Country
1	Maastricht University	MUMC	Netherlands
2	Institute of Psychiatry / King's College London	IoP	United Kingdom
3	Cardiff University	CU	United Kingdom
4	Central Institute of Mental Health	CIMH	Germany
5	Ankara University	AU	Turkey
7	Servicio Madrileño de Salud	SERMAS	Spain
8	University of Amsterdam	AMC	Netherlands
9	Institut National de la Santé et de la Recherche Médicale	INSERM	France
10	Katholieke Universiteit Leuven	K.U. Leuven	Belgium
11	University Mental Health Research Institute	UMHRI	Greece
12	Medizinische Universitaet Wien	MUW	Austria
13	University of Basel	UB	Switzerland
14	University of Cologne	UK	Germany
15	SERMES planificación	SERMES	Spain
17	WINGZ b.v. High Tech Campus	Wingz	Netherlands
18	Emonds Cum Suis International BV	EIB	Netherlands
19	Omega Contract Research Organization	Omega Pro	Turkey
20	Mediamens BV	Mediamens B.V.	Netherlands
21	University of Hong Kong	UHK	China
22	University of Basque Country	UPV/EHU	Spain

23	The Chancellor, Master and Scholars of the University of Cambridge	CMSUC	United Kingdom
24	Royal College of Surgeons in Ireland	RCSI	Ireland
25	Ludwig-Maximilians-University	LMU München	Germany
26	Alma Mater Studiorum Università di Bologna	UNIBO	Italy
27	University of Palermo	UNIPA	Italy
28	University of Melbourne	UOM	Australia