



**American Psychiatric Institute for Research and Education  
Practice Research Network  
Policies and Procedures for Scientific Communications**

**I. Introduction: Purpose of Policies and Procedures**

Data derived from the Psychiatric Practice Research Network (PRN) are used to advance the mission of the American Psychiatric Institute for Research and Education (APIRE) as it relates to enhancing the scientific basis of mental health care and improving service delivery for patients with mental illness and substance use disorders. Scientific communications such as manuscripts and presentations are the primary means for disseminating new PRN findings to the public. Given that PRN data are owned by APIRE, and given that they can potentially make a unique and substantial contribution to the field of psychiatry, their use in scientific communications is guided by and subject to the policies and procedures set forth below.

These policies and procedures are designed to implement the PRN Statement of Principles in Section II by ensuring the widest and timeliest dissemination of high quality scientific communications. This document addresses 1) data ownership, sharing, and use; specific policies on data ownership and use are set out in greater detail in [\*American Psychiatric Institute for Research and Education, Practice Research Network Data Use Agreement Policy\*](#); 2) scientific communications; 3) authorship roles and responsibilities; 4) allocating credit; 5) review and documentation; 6) acknowledgements and disclaimers; and 7) the grievance process.

This policy replaces previous APIRE internal policies on authorship issues. APIRE reserves the right to modify any policy set forth herein at any time.

**II. Principles, Applicability, and Scope**

**A. Principles**

The policies and procedures covered in this document are governed by the following principles:

- Publication of papers and other scientific communications based on PRN data, by internal PRN staff and/or external collaborators, is of the highest priority.
- Rigorous analyses and timely dissemination of results are strongly encouraged. Fragmentary publication of results or multiple publications of the same or similar data are discouraged.
- Encouragement of junior investigators' career development is a high priority.

- Recognition as an author of a scientific communication is based on a significant contribution to the conceptualization, design, execution or interpretation of the research study.
- Papers and other scientific communications using PRN data are undertaken through a data use agreement (DUA). Approval of proposed PRN analyses and scientific communications through a data use agreement process is intended to facilitate more effective coordination of the PRN research agenda.

## **B. Applicability**

These policies and procedures apply to all persons granted access to PRN data, who intend to analyze, or have analyzed, PRN data for publication, including APIRE staff, those collaborating with staff, and those conducting research independent of APIRE staff. It also applies to individuals who may claim authorship credit. As such, external researchers who wish to use or analyze PRN data in any scientific communication must first execute a Data Use Agreement (DUA). These policies and procedures, including the separate policies and procedures governing data use agreements, are incorporated into each DUA, the legal mechanism by which the APIRE grants to individuals the non-exclusive license to use PRN data for specified purposes.

PRN data may be used internally by APIRE or PRN staff without a formal data use agreement.

## **C. Scope**

All scientific communications, including, for example, journal articles and conference presentations, that use PRN data either alone or in combination with other data are subject to these policies and procedures.

# **III. Authorship**

## **A. Definitions**

- Scientific communications. Each PRN study will normally give rise to various types of scientific communications, including 1) a main paper, 2) secondary papers, and 3) tertiary papers. The main paper generally presents findings related to the primary aims of the study. Secondary papers report the results of further analyses of the study data, or of comparisons with other studies beyond the primary aims of the study but on a topic of high priority for the PRN. Tertiary papers are generally on topics of low priority for the PRN, and with PRN staff involvement that is typically too minimal to merit authorship in resulting scientific communications. In addition to papers in scholarly journals, scientific communications may include, but are not limited to, abstracts, oral or poster presentations at scientific meetings, research briefs, or articles in newsletters.

- b. Principal Investigator. The principal investigator (PI) of a study using PRN data is the researcher responsible for the overall study conceptualization, design, development, implementation, data collection, analyses and direction of scientific papers reporting study findings from PRN data bases covered by data use agreements. The PI can be either a PRN researcher or an external researcher.
- c. Author. An author is a scientist who takes responsibility for the data analyses, study results, and content of scientific communications.
- d. Lead Author. The lead or first author should be the person who most contributed to the conceptualization, design, development, analyses and interpretation of data, and writing of the scientific communication. The lead author will generally be the individual who proposes and directs the primary or secondary analyses and is the lead investigator on the data use agreement.
- e. Co-authors. Co-authors are generally involved in various aspects of the development of the study and the resulting manuscript, for example, conducting literature reviews, analyzing data, developing tables, and drafting text.

## **B. Responsibilities**

The lead author has overall responsibility for all aspects of manuscript development and publication. The lead author determines roles and responsibilities of potential co-authors and establishes a mutually agreed-upon timetable for manuscript development. He or she is responsible for circulating drafts of proposals and/or outlines of manuscripts or abstracts to all potential co-authors for review and comment at appropriate stages of the manuscript development process. The lead author carefully considers all input received from co-authors and follows up as appropriate. The lead author is responsible for all final decisions on manuscript content and language.

With input from the coauthors, the lead author determines the most appropriate journal for manuscript submission. All authors are responsible for review and approval of the final draft of the manuscript before submission for journal review, any revisions, and re-submissions. The lead author initiates responses to journal reviewer comments, coordinates manuscript revisions, and circulates the responses and revised manuscript to all co-authors for their input and approval before re-submission. The lead author is also responsible for organizing all other documentation related to the manuscript, such as disclaimers, declarations of interest, copyright transfers, and copies of final publications, and for providing the documentation to the appropriate sources in a timely fashion.

Coauthors are responsible for developing their assigned portions of the manuscript under the direction of the lead author. They adhere to the established timetable and communicate promptly with the lead author if a deadline cannot be met. Coauthors are responsible for careful review of all drafts of the manuscript, and for providing feedback and comments, including proposed alternative language as needed. Coauthors should promptly provide the lead author with all requested documentation related to the manuscript, including

confirmation that they take responsibility for the content of the paper prior to its submission. Coauthors also have the responsibility of publicly defending the content of the manuscript.

### **C. Allocating Credit**

PRN adheres to the Uniform Requirements for Manuscripts Submitted to Biomedical Journals (JAMA, 1993), which states: “The author should have participated sufficiently in the work to take public responsibility for the content. Authorship credit should be based only on substantial contributions to: (a) conception and design, or analysis and interpretation of data; and to (b) drafting the article or revising it critically for important intellectual content; and on (c) final approval of the version to be published. Conditions (a), (b) and (c) must all be met. Any part of an article critical to its main conclusions must be the responsibility of at least one author.”

Lead and co-authorship should be decided at the time the paper topic is first generated and discussed, and with involvement from all co-authors. Authors are generally listed in the order of their contribution, or according to another ordering to which the co-authors agree, e.g., alphabetical. Order of authorship may be reviewed as the paper progresses and is completed; authorship can be modified. Final decisions regarding authorship and the order of authorship are determined by the lead author. Conflicts that cannot be resolved among authors are to be addressed through the grievance process outlined in section VII, Grievance Process.

## **IV. Acknowledgments and Disclaimers**

### **A. Acknowledgments**

All papers and other scientific communications that use PRN data are expected to acknowledge the contribution of the PRN, others who significantly contributed to the study but are not authors, and the funding sources. The name and year of the study from which the data were generated should be cited as the specific data source. As appropriate, PRN may provide suggested boilerplate acknowledgment language in the data use agreement.

### **B. Disclaimers**

PRN and APIRE staff who are authors should provide a statement that the views of the authors do not necessarily represent the views of the American Psychiatric Institute for Research and Education.

## **V. Review and Documentation**

### **A. APIRE/PRN Review**

To ensure quality, PRN-generated scientific communications such as publications, meeting abstracts, and other scientific communications which are undertaken through a collaborative PRN data use agreement and include authorship by PRN or APIRE staff will require internal

review and final approval. Review and approval are conducted by the PRN Director or one or more APIRE senior research staff. Scientific communications resulting from external data use agreements do not involve PRN staff and do not require APIRE/PRN review and approval.

### **B. Documentation**

Under a Collaborative DUA, electronic copies of all final manuscripts submitted for publication in a scientific journal and any revised submissions must be provided to the PRN Director for the PRN files. Under both Collaborative and External DUAs, the lead author must provide PRN with an electronic copy of the published paper in pdf format.

## **VI. Grievance Process**

Disagreements on authorship issues are to be first addressed by the lead author. If the issue is not settled, an author has the option of removing his/her name from the manuscript or of going through a formal grievance process. The author may bring the issue to the attention of the APIRE Associate Director for Management, who will appoint a committee comprised of APIRE external scientific advisors to review the grievance and propose a resolution.

## **References**

International Committee of Medical Journal Editors. Uniform Requirements for Manuscripts Submitted to Biomedical Journals. *JAMA* 1993;269:2282-2286.