



Publication, Dissemination and Authorship Rules

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1. Publication Policy

1.1 General Statement

The purpose of this document is to help establish a set of rules for publications and authorship in the EUREST-PLUS Project and to outline the decision making processes. The EUREST-PLUS publication policy is designed to encourage scientific publications of all types, while maintaining the high quality of these publications and ensuring the legitimate interests of all EUREST-PLUS partners.

This document will assure:

1. A good publication strategy
2. An honest authorship policy in line with ICMJE standards
3. Compliance with the Contract to the European Commission
4. Compliance with ITC publication processes
5. Recording of all dissemination activities as mandated by the European Commission

The EUREST-PLUS *Steering Committee*¹ will be in charge of managing and monitoring the publication process according to the procedure described below to ensure a fair process. The *Steering Committee* will give support and encourage the partners to publish the data in order to disseminate as much as possible the results obtained within the EUREST-PLUS Project.

As part of our collaborative approach, all decisions about publications resulting from the EUREST-PLUS Project will begin with a process of consultation among all relevant team members to inform the direction and scope of potential publications and other forms of dissemination, and to determine team members' roles and expected contributions to each proposed publication or other form of dissemination. Without prejudice to the Grant Agreement and the Consortium Agreement, which overrule the current document, the rules described in this document shall apply.

The policy covers:

1. Scientific publications prepared using data obtained within the EUREST-PLUS activities
2. Written or oral/poster academic presentations using data obtained within the EUREST-PLUS activities
3. Invited lectures (non-academic) to present the project or results obtained within the project.
4. Reports and press releases using data obtained within EUREST-PLUS activities
5. All other dissemination activities in written form not covered above.

1.2 Acknowledging Funding

In line with the grant agreement all dissemination activities must include *at least* the following acknowledgement: "The EUREST-PLUS Study takes place with the financial support of the European Commission (Horizon2020 HCO-6-2015; EUREST-PLUS: 681109-Vardavas) and the University of Waterloo: Fong." This acknowledgement may be expanded to acknowledge additional financial support obtained by one or more participants.

¹ Steering Committee: This is comprised of the Coordinator, the Project Secretariat and the Consortium Partner Leads as noted in the grant agreement.

2. Types of Publications

2.1 Core Publications

- *Core Publications* are those derived directly from EUREST-PLUS's general and specific aims (which may be modified according to later scientific development), the description of work and Work Packages (as described in the Grant Agreement). *Core Publications* will be those which include the main objectives of the EUREST-PLUS Project and those deemed highly relevant for public health policy. This many include manuscripts but also high-level reports that are relevant to EUREST-PLUS's general and specific aims.
- The main aim of EUREST-PLUS is to present data at an International level, with an interconnecting approach of the different European cohorts of EUREST-PLUS. Hence, as a general rule scientific papers should include data obtained by several or all partners involved within a given Work Package of the EUREST-PLUS Project. Therefore, it is the central aim of EUREST-PLUS to publish not local (single country) data, but pooled European wide data.
- The publications considered by the *Steering Committee* to be Core Publications within the EUREST-PLUS Project will be decided and listed beforehand. This list of publications will be periodically updated to reflect the current availability of data. An initial list of *Core Publications* is either noted in the text of the Grant Agreement or provided in deliverables of EUREST-PLUS.
- All publications covered by this document must be submitted to the project manager at ENSP so that a complete record of dissemination activities can be collected for Horizon2020 reporting requirements. Whenever publications, reports, abstracts, etc., including data from WP2, WP3 and WP4 are submitted to conferences or journals, copies will also be submitted to the ITC Project Manager at the UW for ITC reporting requirements.
- The detailed process for proposing and handling Core Publications is described in Section 3.

2.2 Secondary Publications

- *Secondary Publications* are publications that are not directly related to the objectives of the project as approved by the European Commission. These may also include smaller scale manuscripts that may develop through the lifetime of the project, such as methodological papers, brief reports of limited scale, editorials, commentaries, data from limited sites that do not meet the criteria of *Core Publications*, etc. This may also include publications at a national level (in a national language).
- All Parties agree to ensure that publication of any papers that arise from the Project do not compromise the submission and acceptance of *Core Publications*.
- The process for proposing and handling *Secondary Publications* is described in Section 3.

2.3 Tertiary Publications

- Tertiary publications are publications closely related to EUREST-PLUS topics but on data from other sources that are the product of the same intellectual work.
- Tertiary publications, as the ones not representing the specific objectives of the project, could not be financed by the project budget. However, on the EUREST-Plus Project should be

mentioned in these “tertiary” publications, as it is beneficial for the growth of scientific knowledge as well as for broader dissemination of the project activities.

- The acknowledgement text for these publications should be modified and appear as: “*This study was partially supported by the European Union’s Horizon 2020 project EUREST-PLUS under grant agreement No 681109*”

2.4 Oral and Poster Abstract Publications

- Oral and poster presentations on EUREST-PLUS data are handled in the same way as *Core* and *Secondary Publications*.
- The primary aim is to present pooled European data, so as to increase the visibility of EUREST-PLUS research outcomes in international conferences. International conferences should primarily present Core Research; however regional research may also be presented.
- It is likely that single cohort (national) data may be more directly relevant to regional public health audiences and tobacco control and hence the dissemination of national data (in the participants’ national language) is especially encouraged.
- The process for proposing and handling oral and poster presentations is also described in Section 3.

2.5 Publications from Individuals/Groups not affiliated with the EUREST-PLUS Project

Researchers not being part of the EUREST-PLUS Consortium can apply to use available data for analysis and publication as stipulated in the ITC Data Sharing Agreement no sooner than two years after the issuance of the clean and weighted data file by the ITC Project. The proposal will be submitted to the *Steering Committee* following the rules in Section 3. The *Steering Committee* will decide on this data sharing after the approval of the partners involved in the corresponding Work Packages.

2.5.1 Publications from Internal Researchers affiliated with the ITC Project

In the case of interest from internal ITC researchers, general ITC procedures will be followed with the addition of adherence to the process and acknowledgements outlined in this document.

2.5.2 Publications from External Researchers not affiliated with the ITC Project

In the case of interest from researchers external to the ITC Project and EUREST-PLUS Project, general ITC procedures will be followed with the addition of adherence to the process and acknowledgements outlined in this document.

3. Rules for Publications

3.1 Rules for Publication Proposals

- Any EUREST-PLUS researcher (including students) can propose EUREST-PLUS collaborative publications (the *Proposer*²). EUREST-PLUS researchers have first priority to publish results obtained from the work carried out within their Work Package(s). If the data used for the publication come from one Work Package, the proposal must be approved by the *Steering*

² Proposer: the person who proposes a manuscript, publication or abstract

Committee members of the Work Package and the *Coordinator*. If the manuscript plans to use data from two or more Work Packages, the proposal must be approved by the Coordinator and the *Steering Committee* members of the relevant Work Packages. No such scientific publications can occur without the consent of each partner involved in the corresponding Work Packages.

- The primary mandate of the *Steering Committee* in this context is to ensure that there is no substantial overlap in content between papers submitted for publication. The committee will also provide a mechanism for conveying any potentially helpful additional information to the authors. Proposals for studies using the data will be reviewed by the *Steering Committee* to reduce the possibility of unnecessary duplication of effort, to provide a mechanism for knowledge exchange, and to ensure that authorship issues are addressed properly.
- For each proposal a *Synopsis* must be created. The synopsis must include the subject of the proposed publication, a brief description (including the main objectives and statistical analysis plan), the target journal, a time schedule, and suggested (co-)authors (list of names and proposed order). The proposal shall be submitted to *Work Package leader(s)* and the *Project Secretariat*³ with a copy being provided to all involved Participants in that Work Package (WP). For WP2, WP3 and WP4 data, the *ITC Paper/Presentation and Analysis Proposal Form* will be used (<http://www.itcproject.org/forms>) and a copy of the proposal be sent to ITC Project Manager at the UW for ITC reporting and record keeping requirements.
- As a general rule, consent should be received from all involved partners within three weeks; failure to reply within this time will be taken to mean consent. (The three-week rule starts from the date the document is e-mailed. In order to be sure, e-mails should always be send with the request of “acknowledgement of receipt”.)
- An objection to publication may include: a) a request for modifications concerning scientific issues; b) a request that the publication or communication shall be postponed if information contained in the proposed publication or communication is the subject matter of intellectual property protection; c) an assertion of conflict with other EUREST-PLUS Core Papers.
- If no consent on the publication can be achieved within two (2) calendar months from the date of the initial request, the *Steering Committee* shall decide on the issue. All objections to proposed publications or communications will be resolved within a period of six (6) calendar months following the first submission of the proposed publication or communication.
- In any case, final approval will be provided by the *Steering Committee*, while the *Project Secretariat* will monitor the progress of the manuscript development.

3.2 Rules for Preparation of Manuscripts and Authorship

- It is the responsibility of the *Proposer* to assemble a group of potential (co-)authors that represent the necessary expertise and are prepared to devote the required effort to a successful and timely completion of the proposed manuscript. With this aim, the EUREST-PLUS researchers involved in the Work Package(s) from which the data are obtained will be invited to participate.
- (Co-)Authors must meet International Committee of Medical Journal Editors (ICMJE) criteria. A priori, no limitations on the number of authors per partner are given as long as ICMJE criteria are

³ Project Secretariat: Comprised of the Coordinator and the ENSP Project Assistant as defined in the Grant Agreement.

met. All the (co-)authors involved in the paper should approve the final draft before it is submitted to the selected journal. This final approval must be given within three weeks; failure to reply within this time will be taken to mean consent (The three-week rule starts from the date the document is e-mailed. In order to be sure, e-mails should always be sent with the request of “acknowledgement of receipt”).

- In addition to being accountable for the parts of the work he or she has done, the lead author should be able to identify which co-authors are responsible for specific other parts of the work. In addition, (co-)authors should have confidence in the integrity of the contributions of their co-authors.
- **WP2 and WP3:** For manuscripts stemming solely from the use of WP2 and WP3 data the list of authors must end with the term “on behalf of the EUREST-PLUS and ITC Projects”. A list of the members of the Consortium involved in WP2 and WP3 will be provided by each Participant and should be up-dated by the *Project Secretariat*. Whenever the publication rules of the target journal do not allow group authorship, the paper must include, in an Annex, the list of the researchers of the Consortium. If it is not possible to place this in an Annex then a url linked to an external pdf presenting the EUREST-PLUS researcher list must be included in the acknowledgements. This is to ensure that appropriate reference and acknowledgement is made to all researchers involved in the respective Work Package(s) who may not meet ICMJE criteria but who have contributed to the success of the project. This practice is especially beneficial for junior/young researchers.
- **WP4 INTERNAL:** For manuscripts related to joint WP4 activities in which EUREST-PLUS cohort data are used in the analyses only along with other European ITC cohort data from partners in EUREST-PLUS (UK, NL, DE, FR) and no other ITC cohort data, general ITC rules apply. In addition, the list of authors must also end with the term “on behalf of the EUREST-PLUS and ITC Projects” as these refer to *Core Publications* of EUREST-PLUS (Section 2.1). Should the above not be allowed by the journal then the paper must include in Annex the list of the researchers of the Consortium. If it is not possible to place this in an Annex, then a url linked to an external pdf presenting the EUREST-PLUS and the ITC researcher list must be included in the acknowledgements. “
- **WP4 EXTERNAL:** For manuscripts related to WP4 in which EUREST-PLUS cohort data is used in the analyses along with other non-European ITC cohort data then general ITC rules apply. In such analyses, some countries that were not involved in the preparation of the paper will be acknowledged explicitly in the paper in this form: “and the ITC Project Collaboration” with a footnote that lists the countries and names of key investigator(s) for each of those countries. In this case, Dr. Geoffrey Fong, Dr. Ann McNeill and Dr. Constantine Vardavas will be consulted to provide guidance. In addition to ITC publication rules, the paper must include, in Annex, the list of the researchers of the EUREST-PLUS Consortium. If it is not possible to place this in an Annex, then a url linked to an external pdf presenting the EUREST-PLUS researcher list must be included in the acknowledgements.
- For manuscripts stemming from the two standalone WPs, i.e., WP5 and WP6, the above study group acknowledgement is not necessary.
- Each *Partner* is responsible to report any changes in his list of researchers to the *Coordinator and Project Secretariat*, who will update the EUREST-PLUS Consortium List.

3.3 Submission of the Manuscript to the Journal

- The authors should agree among themselves as to who will be the corresponding author, i.e., who will be responsible for submitting the paper to the agreed journal, for dealing with reviewers/editorial comments, and for checking the proofs. The decision on responsibility should be communicated to the *Project Secretariat team*.
- Anything other than minor corrections arising from the editorial-review process should be discussed with other co-authors. Whoever is responsible for the proofs must inform the *Project Secretariat* immediately on receipt of the proofs.
- Whenever the review process gives rise to any issue that is in conflict with internal aspects of the EUREST-PLUS Project, the *Steering Committee* must be involved in the review process and will have the final decision.

3.4 Rules for Oral/Poster Presentations

- Oral and poster presentations on EUREST-PLUS data are handled in the same way as Primary and Secondary Publications.
- The ultimate aim is to increase the visibility of EUREST-PLUS research outcomes in international conferences. International conferences should primarily present Primary Research however regional research may also be presented.
- It is likely that national data may be more directly relevant to regional public health audiences and tobacco control and hence the dissemination of national data (in the participant's national language) is especially encouraged.
- The acknowledgement text to appear is the same one as for primary and secondary publications.

4. Other forms of dissemination

4.1 General Rules

- All dissemination of findings of the EUREST-PLUS Project will be performed according to WP7 goals and aims. EUREST-PLUS researchers are encouraged to disseminate findings of the EUREST-PLUS Project in their country at the national level by means of non-scientific media (radio, TV, daily press, twitter etc.).
- The international dimension of the project should be given a preference when communicating EUREST-PLUS activities in the different countries. Participants should collaborate with WP7 also for national dissemination. In the latter case, the Participant should inform the *Coordinator* about the content of the information, in order to make sure that the information is always up-to-date, accurate and in line with the overall aims of the EUREST-PLUS Project.
- General presentations about the project, as are available on the public site of the project website, can be given without prior notification. However, it is necessary to inform the *Coordinator* and *Project Secretariat* about the activity due to the annual reports to the European Commission.

4.2 Rules for Disseminating in Networks, Internally or to National Policy Makers

- *Project Partners* can report the findings of their results through their internal channels of their networks, (internal non-conference presentations or addressed only to policy-makers or organizations in each country), so long as the role of EUREST-PLUS Project and funding is fully acknowledged. All participants that have contributed to the work will also be specifically acknowledged. The *Project Secretariat* must be notified as per reporting obligations to the European Commission.

5. Survival of the Publication Rules

5.1 Survival of the Publication Rules

These Publication Rules will survive the termination of the Consortium Agreement to apply as specified in Article 37 of the Consortium Agreement.