



A. ADMINISTRATIVE NOTES

- A.1. The study website has abundant information to assist researchers within and outside the HCHS/SOL network to get involved. Initial contact for questions related to manuscript proposals and ancillary studies can be made through contact with HCHSAdministration@unc.edu should you not find your answer on the website.
- A.2. Credit and tracking: HCHS/SOL must track any papers, ancillary studies, grant proposals, and presentations that involve HCHS/SOL data and must approve the use of such data.
- A.3. Publications Committee work is done through the website portal. No email submissions are accepted. From proposal to abstract or poster/presentation and finally the draft manuscript, all reviews are done by the Publications Committee (PC) using the HCHS/SOL website portal. Contact HCHSAdministration@unc.edu if there is a question regarding the process or website.
- A.4. Each investigator should have a study website account and a complete directory listing. A new account may be obtained through the HCHS/SOL website with the assistance of any HCHS/SOL Principal Investigator (PI) or Co-Principal Investigator (Co-PI). Contact HCHSAdministration@unc.edu for questions.

B. AUTHORSHIP PUBLICATIONS POLICIES

- NOTE: This section supplements policies stated in Manual 1 (Study Protocol, General Description and Study Management). See excerpt from study protocol section 4.0.
- B.1. PROPOSALS ARE SPONSORED BY HCHS/SOL PIs and Co-PIs -- All paper proposals should first be vetted by a HCHS/SOL (parent study) sponsor; only the PIs/Co-PIs of the four field centers, the PI/Co-PIs of the coordinating center, and HCHS/SOL associated NIH program officials/scientists (currently, John Kunz, and Drs. Larissa Avilés-Santa and Eliseo Pérez -Stable) are eligible to serve as sponsors. For Ancillary Studies papers, the Ancillary Study PI/Co-PI must also serve as a sponsor, in addition to the field center, coordinating center, or NIH sponsor. This applies to ongoing as well as completed Ancillary Studies. When a lead author is new to HCHS/SOL, the sponsor should be prepared to share with the PC the name and qualifications/ expertise/experience of the lead author.

B.2. AUTHORSHIP DETERMINATION

The HCHS/SOL PC does not limit the number of co-authors per manuscript and defers to Journal guidelines. However, in the interest of recognizing author contributors while not diluting their importance, the PC suggests a reasonable number of co-authors, generally not exceeding 14 total authors, except for consortia and other special papers which may have more authors. The PC adheres to the ICMJE Guidelines, adopted by most journals, which list 4 criteria for authorship:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data; AND
- Drafting the work or reviewing it critically for important intellectual content; AND
- Approval of the version to be published; AND
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

Note: A multi-center study requires the contribution of many people to conceive, obtain funding for, and implement the study, often for many years before data are available. Recognition must be given to the contribution of HCHS/SOL parent study investigators to obtaining and providing HCHS/SOL data. This applies even to papers that generate new data via ancillary studies but also use HCHS/SOL data. This recognition is reflected by including HCHS/SOL parent study investigators as co-authors.

B. 3. CO-AUTHORSHIPS --There are two routes to becoming a co-author: 1) being named by the lead author in the proposal and 2) being nominated by the HCHS/SOL PI or Co-PI, as described below

B.3.1. CO-AUTHORS NAMED IN THE PROPOSAL -- Lead authors may name up to seven additional persons (from their center or elsewhere) for automatic co-authorship at the time of the proposal submission. Including the lead author the total of named authors will not be more than eight. The co-authors named on the proposal submission are expected to have reviewed the manuscript proposal prior to submission to the PC. It should be noted that listing a PI/Co-PI sponsor does not automatically confer authorship. If you wish to name the PI/Co-PI sponsors as co-authors, please also list them in the co-author section.

B.3.2. CO-AUTHOR NOMINATIONS -- After the proposal is approved by the PC and assigned a manuscript number, HCHS/SOL parent study PIs/Co-PIs and HCHS/SOL associated NIH program officials/scientists may add names of persons who could contribute to the paper. The nominations for individuals not named by the lead author must be accompanied by a justification for the nomination. The nominations close at the end of each month for the recently approved proposals and lead authors are notified by email that the website listing

for the specific manuscript has the updated list of co-authors. The lead authors are encouraged to communicate promptly with the co-authors. Co-authors must provide comments or indicate approval prior to submission of manuscript for PC review. The study website's Manuscripts in Progress report has an email tool to facilitate communications.

Note: If during the course of developing the paper, lead authors want to name additional co-authors, they must provide justification in an email request to the Publications Chair (cc to HCHSAdministration@unc.edu).

B.4. REMOVING A CO-AUTHOR

The lead author may ask the PC to remove a co-author from the paper if the co-author agrees to the removal. If the lead author does not have the co-author's agreement but wishes to remove a co-author, the lead author needs to send at least 3 emails to the co-author, at least one of which includes a copy to the manuscript sponsor PI/Co-PI, before asking the PC for approval to remove the co-author. All changes to approved authorships (including additions or exclusions) should be reported and explained on the manuscript submission form on the PC website portal.

C. SPECIAL TYPES OF PAPERS AND GRANTS

C.1. ANCILLARY STUDIES PAPERS AND GENETICS PAPERS BASED ON HCHS/SOL DATA

The above authorship processes/rules (delineated in section B) apply to Ancillary Studies papers and Genetics papers that are based on HCHS/SOL data alone.

C.2. CONSORTIA PAPERS INCLUDING GENETICS CONSORTIA

It is recognized that genetics papers and other consortia papers often have a large number of authors, and they may only allow a limited number of slots for HCHS/SOL. However, HCHS/SOL must be represented, and it is the responsibility of the HCHS/SOL liaison to the consortium to ensure representation. The PC must be notified that these papers have a limited number of slots for HCHS/SOL before the nominations process begins. In other words, these papers must adhere to the HCHS/SOL PC procedures.

When submitting a manuscript proposal based on a consortium, the proposer is asked to include /CONSORTIUM NAME OR ACRONYM, following the study title. For example: "Identifying metabolites that are causally associated with prostate cancer among multi-ancestry populations/PAGE". (Please note that the manuscript title used at the proposal stage may be revised for journal submission).

C.3. TECHNICAL/METHODOLOGICAL/STATISTICAL PAPERS

Manuscripts describing or demonstrating statistical or technical methods that do not report any new findings from HCHS/SOL do not need to be circulated for

additional authorship. However, manuscripts that apply a method to an outcome where new or reanalyzed data are presented must be open for nominations. If authors prefer their methodology paper to have restricted authorship, they need to include a request and justification for this.

C.4. DISSERTATION AND THESIS PAPERS

Dissertation papers follow the guidelines specified in section B. If a dissertation involves more than one manuscript/study using HCHS/SOL data (e.g., 3-paper “stapled” dissertation), each paper will require a separate manuscript proposal.

C.5. K AWARD PROPOSALS AND SIMILAR TRAINING GRANTS THAT REQUIRE FUNDING (e.g., AHA EARLY CAREER GRANTS, DIVERSITY SUPPLEMENTS)

An Ancillary Study (AS) proposal for a K Award (or similar career development grant) that primarily involves secondary data analysis requires that the investigator have at least one approved manuscript proposal on the topic of the grant. “The manuscript number assigned by the PC after the PC has approved the proposal should be submitted with the ancillary study application form. (See the AS section for related policies).

C.6. PROPOSALS FOR GRANTS TO REQUEST FUNDING FOR ANALYSES OF EXISTING HCHS/SOL DATA (R21, R03, etc.).

Investigators who wish to submit a grant proposal to obtain funding to analyze existing HCHS/SOL data are typically required to submit specific manuscript proposals to correspond to the central aims of the grant to the publications committee. (Please consult with your PI sponsor to determine if an exception is appropriate). Generally, 3 proposals are appropriate, though this depends on the number and focus of the aims. Any other proposals can be submitted after the grant is funded in the usual way. If the proposals are approved, the investigators may submit a draft letter of support for the PC Chair to sign and this can be included in the grant proposal. Such proposals that request funding must also be submitted to the Ancillary Studies Committee. (See AS policy). Applicants are encouraged to contact the appropriate Institutes to find out their requirements.

D. ACKNOWLEDGMENTS – All HCHS/SOL papers must appropriately acknowledge the study staff and participants, and NIH funding, by including the following information:

The authors thank the staff and participants of HCHS/SOL for their important contributions.

Investigators website - <http://www.csc.unc.edu/hchs/>

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Ancillary study papers use the above text and also include the funding information for the ancillary study/studies.

E. DATA SHARING STATEMENT – The NIH and HCHS/SOL data sharing policy is evolving, and at the time of this writing we are unable to provide a precise statement for inclusion in publications. We will update this document when possible.