

PTSD Working Group of the PGC
Draft Authorship Policy
April 21 2015

The goal of this proposal is to establish general principles to guide authorship issues on peer-reviewed publications originating from research and scholarly work conducted under the PTSD Working Group of the PGC (PGC-PTSD). This policy will apply to subgroups of the PGC-PTSD including the imaging and epigenetics working groups who have had the opportunity to review, modify and approve these policies.

BACKGROUND

We strive to be consistent with the International Committee of Medical Journal Editors (ICMJE) and based on experiences of similar consortia. Per the ICMJE guideline, authorship credit should be based on: *1) substantial contributions to conception and design, acquisition of data, or analysis and interpretation of data; 2) drafting the article or revising it critically for important intellectual content; and 3) final approval of the version to be published. All Named Authors should meet conditions 1, 2, and 3.* We believe authorship issues should be discussed as early as possible in the manuscript development process and certainly before the writing phase. We recognize that members of our working group are at many different career stages and in many different professional roles. Therefore, our members have different needs with regard for authorship in relation to evaluation and promotion, etc. We also recognized we are a heterogeneous groups with members making many different contributions up to this point. For example, some members have contributed data and time and effort, others solely data, and others time and effort but no data. Our authorship policy needs to account for these different contributions.

At this writing, the working group has written and submitted one paper for publication, a review paper describing the working group and the state of the field. Authorship on this paper was determined as follows. The first author took responsibility for outlining, obtaining contributions, integrating contributions, drafting and revising the paper. Members volunteered to write sections of the paper; each person who contributed a section was a named author. Author order for all but the first author was determined by alphabetical order. These guidelines are being developed prior to the writing of the first empirical paper from the working group.

The PGC does not have an overarching authorship policy. Each group makes its own policy. Some groups use consortium authorship (e.g. SCZ, BIP) others used named authorship (ADHD) and others used consortium authorship but have now moved to named authorship (PTSD). Based on the experience of other groups, it has been found that when using consortium authorship, the working group has very little control over whether the actual names of the members of the consortium will be listed in Pub Med.

DEFINING AUTHORSHIP

The term PGC PTSD Study PI refers to the PI of groups that have contributed data to empirical papers. Some of these studies have multiple PIs. The PGC PTSD Study PIs that have contributed data determine the authors from their group for each paper according to ICMJE criteria. The numbers per study should be reasonable and not excessive. We recognize it will depend on the study. We note, not all working group members are Study PIs or members of groups represented by a Study PI. Group members who are not Study PIs or within a group led by a Study PI may become authors if they meet authorship criteria.

Proposed authorship policy

Main papers from the PGC PTSD group

These papers report the results of a PGC PTSD data freeze. The first empirical meta-analysis paper will fall under this category. Proposals and analysis plans will be presented at a working group meeting early in the process of developing the paper. All members of the working group will have the opportunity to be a co-author on these papers.

The authorship style is:

- The people who contributed most to the manuscript are listed following the first or shared first authors
- The PGC PTSD study PIs are at the end
- All other individuals who made author-level contributions are listed alphabetically between the above
- Last and corresponding author may also be shared and be decided according to contribution. The first author may also be the corresponding author.
- First, shared-first, last and corresponding authors should merit their positions by going well above and beyond the standard authorship requirements and take major responsibility for the conceptualization, analysis, draft and revising of the manuscript.

Following the names last author, the author list concludes with “for the PTSD Working Group of the Psychiatric Genomics Consortium” (this “ghost term” has no attached author or affiliation)

- **First author:** is allocated to the person who writes and takes responsibility for the completion and submission of the manuscript, unless that person waives their claim. A first-author is also frequently involved in the design and conduction of the project itself. The first author may lose this opportunity if greater than six months is required to produce a quality first draft of the manuscript. When more than one individual participated in writing, first authorship should be assigned to the individual who made the greater contribution to the overall research effort. Relative status (e.g., junior vs senior faculty) generally does not determine order of authorship. In certain cases where there is an equal contribution by two individuals, two individuals may share first-authorship (i.e. Smith and Jones, et al).

Criteria for named authorship requires meeting all of the three below:

1. Substantial contributions to conception and design, acquisition of data, or analysis and interpretation of data. Examples include:
 - a. direct involvement or supervision of data collection,
 - b. structuring the experimental design,
 - c. developing a new methodology,
 - d. conceptualizing and refining research ideas or design,
 - e. importing an existing methodology and applying it to the present research,
 - f. providing important reagents, cell lines, or other specimens that are vital to the research,
 - g. formulating the problem or hypothesis,
 - h. organizing and conducting the statistical analysis,
 - i. interpreting results,
 - j. providing explanatory insight into unexpected phenomenon,
2. Drafting the article or revising it critically for important intellectual content. Examples include:
 - a. writing the paper or a major section(s) of the paper (e.g. Methods),
 - b. writing the first draft or critically important revision of concept or interpretation in a later date,
 - c. critical editorial review that helps substantively shape the paper, and/or
 - d. suggestions for novel analyses and interpretation of the data leading to a marked significant improvement in the quality of the manuscript
3. Final approval of the version to be published. Named authors will be given two weeks to approval the final version of the manuscript. Working group papers may have up to 100 or more co-authors. Authors are expected to be prompt and considerate in their replies.

Reassessing authorship: Collaborators may need to reassess authorship order/credit if changes in relative contribution are made in the course of the project and its publication (e.g., when mentees need more intensive supervision than originally anticipated, when additional analyses are required beyond an author's level of training, when the level of contribution exceeds that originally anticipated).

PGC publications typically have hundreds of authors. For maximal progress, it is imperative that PIs and authors are highly responsive and responsible. They need to respond to all queries promptly and provide accurate and up-to-date information. This is particularly the case for *Nature* family journals where even trivial author list changes after initial submission require explicit approval by all other authors.

Therefore, for the efficient management of the PGC PTSD group, the following steps are necessary:

- PGC PTSD PIs will respond promptly to all requests from a writing team (within a few days)
- PGC PTSD PIs will promptly supply lists of authors from their studies upon request
- PGC PTSD PIs will ensure that authors meet authorship criteria (see above)
- PGC PTSD PIs will be responsible for ensuring that all names, initials, degrees, affiliations, and addresses are complete, accurate, and consistent.
- For each PGC PTSD paper, there will be an “author freeze” date. On this date, the author and affiliation list will be deemed final – no additions or changes after this date. The PGC will not request changes to any paper to correct errors that are the responsibility of a PI.

Authorship on other papers using PGC PTSD working group data.

The PGC PTSD group has not considered these types of papers at this time, however, these will likely come up in the future.

PGC cross--disorder papers

An important aim of the PGC is to foster research that compares and contrasts the genomics of multiple disorders studied by the PGC. A named author policy is not fair for PGC CDG papers. If we were to insist on named authorship, then we would be dictating authorship policy for all other PGC groups, and this is not reasonable. The authorship style is:

- PGC CDG papers use a byline (“Cross--Disorder Working Group of the PGC”)
- PGC PTSD authors to be included will correspond to the authorship list for the relevant PGC PTSD paper
- All PGC PTSD authors need to be listed in the .pdf version of the paper (and should appear in the “collaborator” field in PubMed)
- All PGC PTSD authors should meet all authorship criteria listed above (including the opportunity to read, comment, and approve a CDG manuscript)
- *Prior to submission, the lead author on a CDG paper using PGC PTSD data must do the following:*
 - *document that they spoke with the editor of the target journal*
 - *conveyed our needs (all PGC PTSD authors need to be listed in the .pdf version of the paper and to appear on PubMed in the “collaborator” field), and*
 - *was clearly assured that the journal would comply*

This will be a strong and verifiable attempt to ensure that the needs of PGC PTSD members are met while enabling the scientific mandate of the PGC.

Secondary data analysis of individual--level PGC PTSD data

By definition, these analyses must be sponsored by a PGC PTSD PI. The analysis includes evaluation of individual genotype and/or phenotype data. All secondary analyses must be approved by the PGC PTSD group. The authorship style is:

- First/last priority positions determined by the group that did the secondary analysis
- “PTSD Working Group of the Psychiatric Genomics Consortium” is in the author list
- Each PGC PTSD group that participates in this analysis is entitled to a reasonable but limited number of authors (e.g., 2–4 per study)
- All other authors will be included in supplementary text (and should appear in the “collaborator” field in PubMed)

Nearly all PGC PTSD PIs agreed with this approach to secondary analyses. If a group does not agree with this policy or if informed consent is not consistent with the proposed analysis, then it is the responsibility of that PI to clearly and unambiguously opt out of a particular analysis before the analysis begins.

Method development papers

The PGC wishes to strongly encourage method development. If use of individual genotype/phenotype data is encumbered by authorship restrictions, then many statisticians will not be interested in using data held by the PGC. In the long term, this is not in anyone’s best interests.

The major goal of a method development paper is to use real data to perfect or test a new statistical or bioinformatics method. The main outcomes of these papers are the properties of the method: the point of the paper is the method, not PTSD.

If a method development paper were to generate a major result about PTSD, then it should be reclassified as “secondary data analysis” and follow the procedures and authorship requirements described above.

Methods development papers that use individual--level genotype and phenotype data from PGC PTSD samples should submit an analysis proposal, and cannot begin until the proposal is approved (see below). Methods that only use public summary data do not need approval. Thus, the authorship style is:

- These papers require submission and approval of an analysis plan
- Authorships are determined by the team working on the method
- “PTSD Working Group of the Psychiatric Genomics Consortium” is in the author list
- There are no named authors from the PGC PTSD working group (unless they actively participated in the project)
- All other authors will be included in supplementary text (and should appear in the “collaborator” field in PubMed)
- The manuscript will be circulated to the PGC PTSD group for comment prior to submission

Nearly all PGC PTSD PIs agreed with this approach to method development papers. If a group does not agree with this policy or if informed consent is not consistent with the proposed analysis, then it is the responsibility of that PI to clearly and unambiguously opt out of a particular analysis.

Other

We anticipate that most papers that use PGC PTSD will fall into one of the categories above. There may be proposals for the use of genotype--level PGC--PTSD data which do not clearly fit into the above categories. In such cases, the analysis proposal can include an alternative authorship approach. The PGC--PTSD group as a whole could choose to accept or reject the entire proposal (including the authorship approach). If a group does not agree with this policy or if informed consent is not consistent with the proposed analysis, then it is the responsibility of that PI to clearly and unambiguously opt out of a particular analysis before the analysis begins.

We recognize that any participating site may choose to publish and present the results of analysis for a given phenotype conducted at their own site, which does not contain analyses conducted as part of the PGC PTSD. These publications do not constitute Working Group publications. If a PGC PTSD meta-analysis for a given phenotype is proposed and a site is already engaged in an analysis site-specific data for that same phenotype, the site agrees to disclose their participation in the ongoing project(s) for that phenotype if they wish to participate in the PGC PTSD Group meta-analysis. This is also intended to avoid the risk of duplicate submissions that may jeopardize a PGC PTSD publication.

Abstracts for Conferences

Conference abstract systems often only permit a relatively small number of authors and often do not permit a consortium authorship. We recognized these are often submitted near the

deadline and, thus, there is time pressure to produce the abstract and finalize the authorship list. We affirm the following principles with regard to Abstract authorship: i) author list and order on abstracts is not reflective of that for the published paper; ii) authorship priority will be given to PIs who have contributed data and those who are either presenting the paper or have done the analysis for the abstract; iii) PIs will be asked, if there is space, for additional names to add to the authorship list; iv) Generally, all studies will be given an equal number of authorship names; v) if possible, the PGC-PTSD group will be included, by name in the authorship list - “The PTSD Working Group of the Psychiatric Genomics Consortium” ;vi) **Abstracts will be sent around for approval to all authors a minimum of 24 hours before submission.**

References:

http://www.icmje.org/ethical_1author.html

<http://www.apastyle.org/authorship.html>

<http://www.ibro.info/Media/pdf/edu-maps-pdf-pdf5.pdf>

<https://www.councilscienceeditors.org/publications/v23n4p111-119.pdf>

http://www.psychology.sunysb.edu/psychology/index.php?graduate/current_students/authorship

http://www.britsoc.co.uk/Library/authorship_01.pdf