REGARDS
REasons for Geographic And Racial Differences in Stroke

PUBLICATIONS and PRESENTATIONS (P&P)
Policies and Procedures

Version 4.2
April 2, 2010
Outline

REGARDS Publications and Presentations (P&P) Policies and Procedures

Version 4.2, April 2, 2010

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- Manuscripts and papers based on the REGARDS data are welcomed.

- Manuscript proposals are required for all papers and abstracts that use REGARDS data, including ancillary studies. For proposals requesting use of longitudinal or event data, please contact the REGARDS Administrator at regards_admin@ms.soph.uab.edu for further instructions.

- Please review all sections of these P&P Policies and Procedures prior to submission of a manuscript proposal.

- A Manuscript Proposal Form (see attached) must be submitted to and reviewed by the Executive Committee.
  - If a proposal is not approved, comments will be returned to the lead author indicating the necessary revisions before resubmission. The revised proposal should be re-submitted to the Executive Committee with point-by-point responses to major comments.

- Abstracts, manuscripts, and presentations:
  - Must be based on active manuscript proposals or submitted papers.
  - Must not be submitted to any organization or journal for consideration without approval of the REGARDS Executive Committee and sign-off from all co-authors.
  - While exceptions can be made, it is strongly advised that the Executive Committee be provided at least two weeks for review, permitting time for questions to be addressed in the most constructive environment.
  - If the abstract is accepted, a copy of presentation materials (including power point slides or poster) should be submitted to the Executive Committee for review two weeks prior to production or presentation.
  - Previously approved abstracts/manuscripts may be re-submitted or “recycled” to a second meeting/journal without undergoing a second Executive Committee Review process.
  - A copy or PDF of the published abstract or manuscript with reference should be provided to the study through the REGARDS administrator at regards_admin@ms.soph.uab.edu.

- Manuscripts:
  - If new hypotheses or research questions arise during preparation of an approved manuscript, an amended manuscript proposal must be submitted to the Executive Committee. In some cases, a new manuscript proposal should be considered.
  - The Writing Group will have 6 months to prepare first draft of manuscript.
For completed manuscripts, the penultimate draft should be sent to the Executive Committee with a cover letter stating that this penultimate draft is ready for review, that it has been reviewed and approved by all co-authors, and indication of what journal is intended for submission.

If a manuscript is not approved by the Executive Committee, comments will be returned to the lead author indicating the necessary revisions before resubmission. The revised manuscript should be re-submitted to the Executive Committee with point-by-point responses to major comments, similar to what is done for standard re-submission to a journal after initial review.

A copy or link to the published PDF of the manuscript should be emailed to regards_admin@ms.soph.uab.edu.

Writing group chair must comply with the NIH Public Access Policy.

- Location of Data Analyses:
  - Data analyses can be conducted at either the UAB REGARDS Statistical and Data Coordinating Center (SDCC) (centrally) or off-site (locally) according to P&P Policies and Procedures described herein. Local (off-site) analyses are restricted to REGARDS investigators or investigators from approved and funded ancillary studies.
  - For local analyses, a limited use dataset will be provided upon submission of a signed data use agreement and documentation of local IRB review.

All correspondence for manuscript proposals, abstracts or manuscripts should be submitted to regards_admin@ms.soph.uab.edu
REGARDS Publications and Presentations Policies
Version 4.2, April 2, 2010

Introduction and Types of Manuscripts

The purpose of the policies established herein is to encourage and facilitate important analyses, while providing guidelines that ensure appropriate use of the data from the REasons for Geographic and Racial Differences in Stroke (REGARDS) study, timely completion of projects, and adherence to the principles of authorship. Note that manuscript proposals are required for all papers and abstracts that use REGARDS data, including ancillary studies.

Because of the relatively small number of REGARDS investigators in the parent study, these policies are currently under the direction of the Executive Committee rather than a separate “Publications and Presentations Committee” as is normally found in national cardiovascular epidemiology studies; however, this is subject to change.

The REGARDS investigators consider potential publications as falling into four broad categories:

1) Methodological Papers: Methodological papers will describe the approaches used to assemble and evaluate the cohort. Methodological papers also include manuscripts that develop new statistical methodology.

2) Cross-sectional Papers: Cross-sectional papers will focus on reporting data collected as part of the baseline evaluation. Within this category, papers will focus on the description of the distribution of risk factors, differences between groups (including races) in the distribution of risk factors, and the association between risk factors. An individual manuscript may include only “complete participants,” i.e., participants who completed both the CATI baseline as well as the in-person exam (for whom we have signed informed consent) or “partial participants,” participants who gave verbal consent over the telephone but in-person exams were not completed (for various reasons.) This will depend on the hypotheses and variables being investigated.

3) Longitudinal Papers: Longitudinal papers will focus on the association of baseline characteristics with data collected during follow-up of the REGARDS cohort. This includes such data as stroke symptoms, hospitalizations, cognitive assessment, for example.

4) Event data – These data include adjudicated stroke events, MI events, other vascular events, overall mortality and adjudicated causes of death. For further information on use of these data, please contact the REGARDS administrator through regards_admin@ms.soph.uab.edu.
I. Objectives

- To stimulate the scientific abstracts, presentations and manuscripts from REGARDS and other investigators;
- To ensure and expedite orderly and timely reports to the scientific community of all pertinent information resulting from REGARDS;
- To ensure that abstracts, presentations, and publications based on REGARDS material are accurate and objective, and do not compromise the scientific integrity of this collective study;
- To ensure that all investigators within REGARDS, particularly those of junior rank, have the opportunity to participate and be recognized in the study-wide REGARDS papers;
- To establish procedures that allow the REGARDS Executive Committee to exercise review responsibility in a timely fashion for REGARDS publications and presentations;
- To encourage manuscripts based on the information collected from all REGARDS participating institutions and organizations; and
- To prevent overlap of published material and duplication of analyses.

II. Procedures

A. Basic Elements and Procedures for Submission of a Manuscript Proposal for a Paper or Abstract

Manuscript proposals are required for all papers that use REGARDS data, including data from ancillary studies. Abstracts and presentations must be based on active manuscript proposals or submitted papers.

A formal manuscript proposal must be submitted to the Executive Committee through the REGARDS Administrator via email (regards_admin@ms.soph.uab.edu), using the “Manuscript Proposal Form Template.” This form has several parts. The proposal must include the following “Summary Information” in Part I:

- Date submitted to the Executive Committee
- Proposal title
- Abbreviated Title
- Authors (including REGARDS sponsor/mentor/investigator if first author is not a REGARDS investigator or a REGARDS ancillary-study PI)
- Complete contact information for lead author and email addresses of all co-authors
- Potential overlap with other REGARDS manuscript(s)
- Type of Data (events, longitudinal, cross-sectional, methods)
- Type of Study (Main or Ancillary Study, Title & PI if Ancillary study)
- Data Analysis location (UAB Statistical and Data Coordinating Center (SDCC) centrally or off-site, i.e., locally) Note: If plans are for a non-
REGARDS statistician to perform the statistical analyses, there are additional requirements – see below, Section II.C for more details.

- Use of Genetic Information (if applicable)
- Keywords
- Conflict of interest disclosure

Part II, the scientific “Proposal Details” should be summarized in the proposal template. Proposal Details should include the following in 2-3 pages:

- Introduction (Rationale and background, brief)
- Research Hypothesis (Clearly state scientific questions to be addressed)
- Data (List variables to be used, sample inclusions/exclusions)
- Analysis plan and methods (Give detailed description of proposed statistical analyses)
  - If plans are for a local (off-site) vs. central (UAB SDCC) statistician to perform the statistical analyses, additional details are required (see below Section II.C. Location of Analyses – Central vs. Local, for additional requirements for these manuscript proposals.)
- Summary and conclusions
- References

The proposed co-authors as identified on the Manuscript Proposal Form must have reviewed and approved the proposal prior to it being submitted to the Executive Committee. Although not required, it is recommended that a REGARDS investigator be among the co-authors.

For the first manuscript proposal submitted by a non-REGARDS investigator, a brief paragraph/letter of introduction must be provided, indicating background and credentials, and the name of the REGARDS investigator who is the sponsor.

It is recommended that the writing group chair have conversations with someone at the REGARDS SDCC or other study site in the development of the manuscript proposal, to include potential for overlap with other proposals, availability of data variables and detailed analysis plans. Contact regards_admin@ms.soph.uab.edu for assistance. A listing of submitted or pending manuscript proposals is maintained at the SDCC and can be checked in advance to help investigators determine overlap. In cases of potential overlap, a REGARDS investigator will contact the lead author for further discussion and resolution.

Upon receipt of the manuscript proposal by the REGARDS administrative assistant, the proposal will be assigned a number and entered in the Manuscript Proposal Tracking Log. The administrative assistant will review the proposal to verify that the proposal format has been followed and confirm potential overlap with any other papers or abstracts, proposed or in progress, has been addressed. The administrative assistant will also notify the co-authors that a manuscript proposal has been submitted with their name as a co-author.
Depending on date of submission, the Executive Committee review usually takes less than 2 weeks. The results of the Executive Committee review will be summarized and reported back to the lead author. If the proposal is not approved but significant changes could be made to address the Committee’s comments, a revised proposal with point by point responses to the review concerns will need to be submitted to the REGARDS Administrator (regards_admin@ms.soph.uab.edu) for re-review by the Executive Committee. If the proposal receives conditional approval, a revised proposal with point by point responses to the Committee’s concerns should be submitted to the REGARDS Administrator for tracking purposes. These instructions will be included in the email notification from the Executive Committee.

If the proposal is approved, the Executive Committee, in consultation with the SDCC, will determine priorities for data analyses to be performed centrally, as well as priorities for distribution of a dataset for local analyses. Individuals wishing to conduct analyses locally (at home institution) who are not funded by the parent REGARDS study will need to sign a data use agreement to obtain data (see below Section II.C. Location of Analyses – Central vs. Local, for additional requirements for these manuscript proposals.) Approved manuscript proposals will be tracked centrally for progress. Local (off-site) analyses are restricted to REGARDS investigators or investigators from approved and funded ancillary studies.

B. Types of Studies: Main vs. Ancillary -- Definitions

There are two study types: Main and Ancillary, which are defined below. Analyses for these may be done either centrally (at the SDCC) or locally.

**Main Study Manuscripts:**
A Main Study manuscript analyzes data collected as part of the original-funded REGARDS study.

**Ancillary Study Manuscripts**
Ancillary studies involve the collection of new data that were not a part of the original study protocol or the modified study protocol as approved and funded by NINDS (for example, the addition of cognitive evaluation component is not considered ancillary). These new data may have been obtained directly from participants or from previously collected samples, images, or other sources (e.g., medical records). An ancillary study derives funding from other sources than REGARDS. Examples include studies funded by investigator-initiated NIH research awards (R01s), grants from academic institutions, private sources (e.g., drug companies), or those performed at no cost (generally because of the special interest or a researcher). Ancillary study manuscript proposals will also be tracked centrally for progress; however, they will not be required to adhere to the timeline described herein.
Ancillary study manuscript proposals follow the same procedures with submission to the Executive Committee for approval; coauthor nominations are restricted to those with special expertise in the area of the proposal. Additional review and approval processes may be established by ancillary study groups and require an additional acknowledgement section for the manuscript.

Ancillary study analyses may be done either centrally (at the SDCC, provided funding for this has been provided for within the ancillary study) or locally.

C. Location of Analyses – Central vs. Local -- Definitions

1. Central – by SDCC at UAB. Data for these papers are analyzed by personnel affiliated with the SDCC. Priority for these analyses will be assigned by the REGARDS Executive Committee. Assignment of specific statisticians will be done by the Statistical Team Leader (STL) at the SDCC. The STL will contact the writing group chair and introduce him/her to the statistician conducting the analyses for the paper and will work with the statistician and writing group chair to develop a timeline for analyses. The writing group chair will be encouraged to prepare draft table shells to facilitate communications with the statistician.

2. Local – by non-REGARDS statisticians. Data for these papers are analyzed by individuals not affiliated with the SDCC. Local (off-site) analyses are restricted to REGARDS investigators or investigators from approved and funded ancillary studies.

The writing group chair must include in the manuscript proposal a brief paragraph describing the credentials of the data analyst indicating their ability to conduct the analyses locally, and a detailed description of the analyses proposed. During this time, access to the REGARDS data dictionary will be provided.

Following approval of the manuscript proposal (that includes a listing of variables needed), the writing group chair will be sent the Data Use Agreement for the proposed analyses. Only the writing chair needs to sign the data use agreement. This will constitute an understanding that the writing group chair has responsibility for the appropriate use of the data. (It is acceptable to have a statistician or students perform the data analysis with appropriate IRB review from the writing group chair’s home institution.)

The UAB IRB has determined that the de-identified data that is shared with members of research communities outside of UAB for the purposes of manuscript preparation does not constitute data involving human subjects under the definition of the Office for Human Research Protections (OHRP) Guidance on Research Involving Coded Private Information or Biological Specimens, October 16, 2008. The IRB suggests that researchers who receive
these data as described above contact their local institutions for guidance regarding institution policies and procedures for review and approval of data.

A dataset containing only the variables requested will be sent upon receipt of the signed data use agreement, and a letter/memo from the writing group chair’s IRB indicating approval or waiver of review for the approved manuscript proposal. If not already provided during the manuscript development period, the data dictionary and other database documentation will be provided with the dataset.

Upon completion of the manuscript, the writing group chair should send all accompanying analytic code to the REGARDS Executive Committee via regards_admin@ms.soph.uab.edu at the same time as the submission of the final manuscript for Executive Committee review prior to journal submission.

D. Formation of Writing Group

In order to ensure that all investigators have the opportunity to participate and be recognized in the main study papers, writing groups usually include investigators from several REGARDS organizational units. Writing group members for both main and ancillary study papers may be nominated by the first author and by the Executive Committee, although nomination is no guarantee of co-authorship.

Final approval of the writing group for main study manuscripts is by the Executive Committee. For both main study and ancillary study manuscripts, the Executive Committee will review the nominees to ascertain if any investigator able to significantly enhance the Writing Group should be added, or, when it is in the best interest of publication, a smaller Writing Group may also be recommended. In general, the Executive Committee expects there will be no more than eight in each writing group. Although not required, it is recommended that at least one REGARDS investigator be among the co-authors.

Usually the manuscript proposer will be designated as the Writing Group Chairperson and first author of the paper. He/she will receive written notification and comments from Executive Committee review of the manuscript proposal including recommendations for additional Writing Group members and his/her responsibilities as chair (see below). In general, an investigator should have no more than two approved and active manuscripts in which he/she is the Writing Group Chairperson. For papers using the SDCC for analyses, a second manuscript will be eligible to start after the penultimate draft of the first manuscript is approved by the Executive Committee.

If needed, the Executive Committee will provide recommendations on standardized text to be included in manuscripts and abstracts, especially in the basic description of REGARDS, e.g., study design features, cooperation/participation rate, etc. For manuscripts, this can be expanded to include a generic paragraph on inclusion/exclusion criteria, sampling frame, and processes of the telephone/in person
component, response rates, and NINDS grant acknowledgment. Contact the REGARDS Administrator (regards_admin@ms.soph.uab.edu) for assistance.

E. Assigning Priorities for Analyses

The REGARDS Executive Committee will determine priorities for scheduling start dates for centrally-analyzed manuscripts. Priority assignment ranges from 1 (high) to 3 (low). Manuscripts will be scheduled to start (be activated), according to their assigned priority rating, when:

- The writing group chair is available and is not chairing a writing group for any more than one other active, centrally-analyzed manuscript, and
- Necessary SDCC staff/investigators at UAB are available.

Because locally analyzed manuscript proposals require effort on the part of the SDCC in preparation of datasets and documentation, the REGARDS Executive Committee will assist in determining priorities for scheduling start dates of these manuscripts.

F. Writing Group Responsibilities

The Writing Group Chairperson is responsible for all phases of manuscript preparation, from conception through publication. These responsibilities include:

- Preparation of outlines, identification of data analyses needed, and submission of interim status reports to the Executive Committee;
- Assignment of tasks to Writing Group members with clear deadlines for completion of these tasks and determination that the tasks are completed on schedule;
- Preparation and circulation of drafts for approval by each member of the Writing Group before submission of a penultimate draft to the Executive Committee and before submission to a journal;
- Determination of the order of authorship on the manuscript. A major criterion will be the effort and contribution made by each member of the Writing Group in the preparation of the manuscript;
- Choice of a journal to which the manuscript will be submitted;
- Correspondence with co-authors, communication with the SDCC and the Executive Committee, and responses to journal editors.
- Upon acceptance/publication:
  - Notification of REGARDS Administrator at regards_admin@ms.soph.uab.edu
  - Complying with the NIH Public Access Policy and providing the PubMed Central (PMC) reference number to the REGARDS Administrative Assistant when the number is available or the NIH Manuscript Submission reference number (pending publication), or by indicating that the journal submits articles directly to PMC on behalf of authors.
In general, following the REGARDS publications and presentations policies and procedures

Members of the Writing Group are responsible for performance of tasks assigned by the Chairperson within the allotted time period. Each member is expected to actively participate in the preparation of the manuscript.

If a Writing Group member does not accomplish the tasks assigned to him/her and has not contributed to the manuscript, he/she may be removed from the Writing Group. The chairperson should send a letter to the Executive Committee requesting the removal of non-contributing member(s). Upon receipt of a manuscript or abstract for review by the Executive Committee, the P&P Administrative Assistant will check the co-author listing as provided on the original manuscript proposal and additional recommendations from the Executive Committee. Any discrepancies will be queried.

If the initial results lead to a split of the original paper into more than one manuscript, a brief new manuscript proposal and description must be submitted to the Executive Committee. The same policies and procedures apply, for example, if authors want to submit an abstract on this new manuscript -- it must be based on an active approved manuscript proposal. The same writing group members are usually retained on the second paper. In addition, when in the process of analysis or preparing the manuscript, newly recognized aspects of the question broaden the scope of the proposal as it was originally approved; an amended manuscript proposal must be submitted to the Executive Committee. Contact the REGARDS Administrator at regards_admin@ms.soph.uab.edu for assistance.

G. Schedule for Manuscript/Abstract Preparation

The expected schedule for the development of a manuscript is described below. Deviation from this schedule must be approved by the Executive Committee. Failure to adhere to this schedule will prompt a review of circumstances. If it is determined that a manuscript is delinquent, this could be the basis for replacing member(s) of the Writing Group responsible for the delay, or for disbanding the Writing Group.

**Draft.** After notification by the Executive Committee of manuscript approval and the availability of statistical analyses personnel effort for central papers, the Writing Group will have four (4) months to prepare a first draft. A first draft will consist, at a minimum, of an Introduction, Methods and Results Sections. This draft should be sent to the members of the Writing Group. It is recommended that a response deadline of 4 (four) weeks be given to Writing Group members to prevent unnecessary delays.

**Penultimate Draft.** The penultimate draft becomes due three (3) to six (6) months after the first draft is distributed to the Writing Group. A penultimate draft should be sufficiently developed for subsequent submission to a journal. After review and approval of the penultimate draft by Writing Group members, the
penultimate draft should be sent to the Executive Committee (via regards_admin@ms.soph.uab.edu) with a cover letter stating that this penultimate draft is ready for review, that it has been reviewed and approved by all co-authors, and the journal it is initially being submitted to. Include the manuscript number in this correspondence.

All manuscripts – whether locally or centrally analyzed—are subject to automatic withdrawal if there is no reported progress within 3 years of proposal approval.

Acknowledgments. An acknowledgement section has been prepared by the REGARDS Executive Committee to acknowledge the funding source of NINDS and the REGARDS investigators. (See Appendix) This wording is to be included in all manuscript submissions. If journal policy/restrictions require editing of this approved text, please contact the REGARDS administrator at regards_admin@ms.soph.uab.edu for guidance and consultation with a representative from the Executive Committee. If the journal requires signed release forms for persons listed in the acknowledgments section, we have that on file and it is available upon request through regards_admin@ms.soph.uab.edu. For ancillary study manuscripts, included in the appendix is an example of additional acknowledgements for an ancillary study. Contact the PI of the ancillary study for confirmation and further information. For investigators using laboratory information from the REGARDS Renal Ancillary study (cystatin C, urinary albumin/creatinine, complete blood count, serum albumin, blood urea nitrogen), the REGARDS Renal Ancillary Study must be acknowledged (see Appendix).

Review. The Executive Committee review usually takes two weeks. The Executive Committee will review each manuscript followed by a discussion during a conference call. Afterward, the writing group chairperson will be sent a summary of any pertinent committee comments. If a manuscript is not approved by the Executive Committee, comments will be returned to the lead author indicating the necessary revisions before resubmission to the Committee.

Journal. It is recommended that within thirty (30) days of receiving Executive Committee comments, the revised manuscript be circulated by the writing group chair to the other members of the Writing Group for final sign-off.

The Writing Group Chairperson must keep the Executive Committee and the co-authors informed as to the manuscript’s progress through journal review. Upon publication of the manuscript, the Writing Group Chairperson must provide either a PDF or link to the final publication to the REGARDS Administrator (regards_admin@ms.soph.uab.edu). If there are substantive changes made in the manuscript during journal review (major findings or conclusions, alterations of the sample, exclusion/inclusion of major covariates), the revised manuscript should be submitted to the co-authors and Executive Committee for re-review.
The Writing Group Chairperson must comply with the NIH Public Access Policy and provide the PubMed Central (PMC) reference number to the REGARDS Administrator when the number is available or the NIH Manuscript Submission reference number (pending publication), or indicating that the journal submits articles directly to PMC on behalf of authors. If assistance is needed in complying with the NIH Public Access Policy, please contact the REGARDS Administrator at regards_admin@ms.soph.uab.edu

**Online sessions and Press Releases.** Press releases and lay summaries for the media need not undergo Executive Committee review, but must be sent as soon as possible to the REGARDS Administrator (regards_admin@ms.soph.uab.edu) for notification to NINDS. Lay summaries for any audience other than the media (e.g., for participant newsletters, internal institutional newsletters, etc.) must undergo review by the Executive Committee.

### H. Guidelines for investigators using UAB SDCC for data analyses.

- Plan systematically for the analysis of your data;
- Communicate with the assigned SDCC representative on the Writing Group for all requests and questions on analyses;
- Be sure that data requests are made in a timely fashion; interactive analyses will be allowed within the time window before and after the first draft;
- If the SDCC falls behind on the analyses, the Chairperson of the Writing Group should inform the Executive Committee via regards_admin@ms.soph.uab.edu if there is a problem, deadlines can be changed.

### I. Preparation and Submission of Abstracts Based on Approved Manuscript Proposals

**No abstract shall be submitted to any national or international organization for consideration prior to review by the REGARDS Executive Committee, approval by the Committee, and sign-off from all co-authors.** Any abstract submitted without these approvals may be asked to be withdrawn.

Abstracts and presentations must be based on active manuscript proposals or submitted papers. An abstract or presentation based on an existing penultimate draft or submitted paper should be submitted to the Executive Committee for review no less than two weeks before the abstract submission deadline. If it is submitted too late for review, there is a risk of it not being approved in time to submit or withdrawal if the abstract is not approved. Information should include the meeting name and deadline.

If the abstract is accepted, a copy of presentation materials (including tables and graphs, PowerPoint slides or poster) must be submitted to the Executive Committee no less than two weeks before the presentation deadline.
For approval by the Executive Committee, abstracts should be e-mailed directly to the REGARDS Administrator (regards_admin@ms.soph.uab.edu) for circulation to the Executive Committee. Abstracts can be pasted in the document or included as an attachment, preferably in MSWord format. A response will be e-mailed back to the sender within two weeks.

Previously approved abstracts may be re-submitted or “recycled” to a second meeting without undergoing a second Executive Committee Review process. The Writing Group chair need only provide the REGARDS P&P Administrator with the same details (i.e., meeting name, acceptance status, etc.) as these are required for follow-up reporting.