HSPDP Draft

**Collaborative research and publication protocol *DRAFT***

HSPDP Annual Meeting, Biosphere 2, January 9, 2015

Several major research programs, involving at least 100 scientists, support the Hominin Sites and Paleolakes Drilling Project. These programs often have complementary but overlapping goals. It is therefore critical that a strongly collaborative ethos is fostered throughout the project. To this end, we have drawn up this draft collaborative research and publication protocol, drawing on existing ICDP protocols, and those of similar major research programs.By following these common-sense rules, we seek to avoid counterproductive competition between teams, authorship wrangling, and unpleasant surprises at unexpected publications. Instead, we can be confident that the strengths and synergies of the various research teams involved will greatly contribute to the overall success of the project.

**Complementarity and replication of research analyses and methodologies; data sharing.**

Expertise and experience in specific laboratory and data-analytical techniques is available at several of the institutions working on HSPDP. Thus different and complementary approaches to the same research problems may be attempted, inter-lab comparisons may result in methodological advances, and data replication may increase the robustness of results. Although we anticipate an abundance of core material for analysis, some core intervals will be of greater interest than others, which could lead to undesirable competition between labs. To avoid this, we urge potentially competing laboratories to give **priority to the overall project** rather than to individual laboratories or institutions. Objective judgements of the available resources, time, and relative strengths of the laboratories should be kept in mind when deciding on sample allocations. In cases of irreconcilably competing interests, the judgement of the Steering Group and Advisory Panel will be paramount. It should also be borne in mind that **datasets produced from the HSPDP cores and HSPDP-related projects are the common property of all members of the CB Project**, and will result in multi-authored publications by many, sometimes all, HSPDP Project members. Data sharing will be facilitated by password-protected access to HSPDP databases.

**Publication and authorship**

The purpose of publication is to communicate our project results in the most useful manner for various target readerships via specific journals. Consideration of individuals’ career progression is secondary to the success of the project (as measured by publication output), although PhDs and postdocs must be given the first opportunity to lead-author a paper. A basic principle is that everyone on the project (investigators, postdocs and partners) should expect to contribute and be named on various papers as appropriate. It is the responsibility of the lead author to ensure that the authorship list and ordering is appropriate, using the maxim ‘if in doubt just invite them on’. Authors, of course, have the right not to be included if they disagree with interpretations etc., but resignation from authorship must be effected no later than circulation of the second draft of a paper.

A project member’s name should be on a paper if he or she:

* contributed previously unpublished data or ideas
* wrote parts of it or played a role in editing and revising
* had a substantive, intellectual role in the fieldwork, lab analysis or data analysis
* contributed to the activity via a major organisational role in support

In practice this means that papers will have many authors, some of which will have a very long author lists.

**Ordering of authors** should be judged according to level of input and then for longer lists (say > 4-6 authors), where it becomes impossible to discriminate, the list should relax to simple alphabetical ordering. If a journal is reluctant to take such a long list (this is rare) then the abbreviated ‘*x y z authors and Hominin Sites and Paleolakes Drilling Project members*’ is sufficient, provided that the team is then listed in full at the end of the paper, and/or by reference to the project website. PIs will be expected to lead major papers on syntheses at CB and HSPDP levels, but to also make room for the postdocs and graduate students to lead some of their own, as this is vital for their careers.

**Publication planning**: it is important for the project to have a clear plan and timetable of conference presentations and publications. Plans for papers and presentations should be communicated at an early stage to the Steering Group, or at the annual HSPDP Project meetings. It can be anticipated that publications will be either (1) specialist, technical and methodological papers, or (2) synthetic and multi-proxy papers. For example the following types of papers are likely:

* Site geophysics; catchment geophysical and geochemical characteristics
* Dating, chronology and age models
* Tephra geochemistry, tephrochronology
* Geochemical stratigraphy; XRF data
* Biostratigraphy: pollen, diatoms, biomarkers
* Multi-proxy paleoenvironmental reconstruction: geochemical, geophysical, biological proxies
* Reconstruction of past environment using transfer functions
* Regional palaeoclimatic syntheses
* Climate - archaeology
* Climate - human evolution

Model – data interactions

It may be advantageous to publish synthesis or state-of-the-art papers announcing major results and discoveries at an early stage, with more detailed technical papers to follow.

**Paper submission: General and or multisite HSPDP** papers that have benefited from any HSPDP-related funding or specific collaboration within the project should not be submitted without knowledge of the PIs and Steering Group, who will take responsibility for ensuring fair play. Site-specific papers should be reviewed by AC and the members of the HSPDP Steering Committee relevant to that site who will decide which other team members to consult on or include in publications. Prior to submission to a journal or conference, the title, author list and abstract should be emailed to the PIs and Steering Group, who will then circulate to all HSPDP Project members for information. There will then be a 14 day window for others to comment, and after that submission of the paper is permitted. Abstracts will also be circulated for review to the Steering Committee, ideally with a 14 day comment period.

All papers should state in the acknowledgements that the work was supported by the appropriate grants. For sites other than CB, this includes NSF and ICDP. For CB this includes ICDP, the Natural Environment Research Council (Grant NE/K014560/1), and DFG, and by CRC-806 “Our Way To Europe” of the universities of Cologne Aachen and Bonn and NSF. All papers should include an HSPDP publication number, which can be obtained from AC.

**Research proposals, new researcher appointments, and new collaborations**.

It is anticipated that the project will continue to generate new proposals for further funding support, and research opportunities at undergraduate, Masters, PhD and post-doc levels. Similarly, outside researchers may seek to collaborate with specific aspects of the project. To avoid overlap of effort, and as a matter of courtesy, ideas for new research proposals, new students and post-docs, and outside collaborators should be discussed with the Steering Group at the earliest opportunity (e.g. by sending a draft proposal abstract). The Steering Group will then advise as appropriate, in the knowledge of other such proposals, and encourage co-operation where necessary. After review by the Steering Group, the proposal abstract will then be circulated to all HSPDP Project members for information.

**Publicity and Outreach**

A coherent press and publicity strategy will be needed in the event of key publications in major international journals. In such cases, a single press release statement should be agreed by the Steering Group and PIs for dissemination to Press Offices of all institutions involved, with appropriate local modification encouraged. Generally the press office of the lead author’s institution will take the lead on this process. Press articles and broadcast media should be logged on the HSPDP Project website. Similarly, posters, presentations and other outreach activity to schools and the general public should be logged with the HSPDP Project webmaster, with a view to ultimate reporting to funding agencies.