

Ethical Code, Data Sharing & Publication Policy for CEBA Participants

1. Definition of terms

CEBA. *The Center for the study of Biodiversity in Amazonia is a Consortium of French scientific research institutes funded as a Laboratoire of excellence by the “Investissements d’Avenir” grant (2011-2020) and aimed at fostering knowledge in the area of biodiversity science in Amazonia, and particularly in French Guiana.*

CEBA Party. *As per the Consortium Agreement, a Party is a moral entity (University, research institute). The CEBA Parties signed the Consortium Agreement, and in particular its section 5 (Intellectual property).*

CEBA Participants. *A Participant is a staff member of one of the Consortium institutes listed in the CEBA project at the time of project acceptance or in subsequent years (accounting for slight changes in the perimeter of the CEBA). Students (Masters, PhD and post-doctoral research associates) should also agree to this document and follow this guideline even after they have moved on to a new job. Staff members moving to another lab, not part of CEBA, should also comply with this document.*

Data. *The term “data” covers a range of objects including lists of taxa, field censuses, molecular biology data, biological collections, human censuses and individual or population information, environmental measurements (including remote sensing), maps, or original compilations of historical knowledge bases.*

2. General principles

The CEBA data policy is guided by the fundamental principle that cooperation and synergism should be maximized in all CEBA scientific activities. To ensure that all CEBA participants have access to data in a timely manner and that appropriate credit is given to the investigators, there is a strong need for a definition of data policies that will be adopted by the entire CEBA community.

This data policy guides data sharing, citation of data from other investigators, access to restricted data and promote the exchange of quality-controlled / quality-assured data.

It applies to all CEBA Participants and to outside investigators who agree to collaborate with the CEBA.

All participants in the CEBA commit to these general principles and code of conduct, designed to promote trust and cooperation among participants: Transfer of any data between project participants does not imply the transfer of rights to publication of the data. Therefore, all participants in the project agree to first obtain the consent of the original investigators before submitting any work for publication. Furthermore, project participants agree to involve other contributing participants (for example, in the analysis, writing and co-authorship, etc., of results) whenever this is appropriate.

3. Data management and sharing

Access to primary data ensures that the conclusions can be examined by the peers. CEBA intellectual property rights need to strike a balance between adequately rewarding the efforts of field researchers, and ensuring the wider benefits that come from sharing for synthesis research, including the impact on the policy process of timely exposure of results. Too restrictive a policy would isolate important data from the research process. Too open a policy would be unfair for partners who have labored for years for their hard-won data.

Balancing these perspectives, and drawing on experience elsewhere (e.g. LBA, RAINFOR), the following code of conduct for managing data generated during this project will apply.

Data generated by the CEBA are intended to become public domain. A Data Information System (DIS) will provide tools for documenting these data. All CEBA data should be available to all CEBA researchers. Exceptions may be made in the case of (i) raw or preliminary data, for which distribution can be restricted for a limited period of time, or (ii) human information (molecular, genetic, anthropological, sociological, etc.) for ethical reasons and protection of individual/personal information.

Outside investigators may be given access to this data, with some prudent time period for quality control. Prior to access, outside investigators should agree to the terms of the present document. Prior to considering sharing and/or publication, data will be strictly quality-controlled, since errors or biases, nomenclature, and database coding may impact conclusions. Quality control will be applied in the field, at the data entry stage, and at the final database checking stage.

All individual investigators in the field of Amazonian biodiversity may make their own data more widely available at any time to the research community. Investigators members of the CEBA are especially encouraged to share their data, even if generated before the creation of the CEBA or from other funding bodies. In so doing, they will benefit from the CEBA collaborative platform and from the present agreement.

Data should be analyzed cooperatively by all scientists involved in obtaining them. Cooperation across disciplines and across countries should be encouraged.

4. Publication policy

Publications resulting from work under the CEBA should be co-authored by all scientists who have participated substantially in the work, unless some participants choose not to be on the authors list. The same applies to presentations at meetings. Users of unpublished data should contact the data providers well in advance of producing and submitting a manuscript, in order to inform the providers of intended use.

Where data are used for modelling or integrating studies, the scientist collecting the data will be credited appropriately, either by co-authorship or by citation. The data collectors should be informed of publication plans well in advance of submission of a paper, given an opportunity to read the manuscript, and be offered co-authorship. In cases where data from other investigators are a minor contribution to a paper, the data should be referenced by a citation. Users of the data will always have to state the source of the data.

Investigators invited to co-author a publication should accept this invitation only if they believe they have contributed this research significantly, through data sharing or through

intellectual input. They should explicitly agree on the full content of the publication prior to submission. This implies that they should be given enough time to read the manuscript, and that they should be able to understand the manuscript in its full extent. It is the responsibility of the lead author to make sure that these criteria are met.

5. Ethics

CEBA Participants should obey the ethical rules of scientific practice. This is implemented internationally under the term “Responsible Conduct of Research”, and its guiding principles are honesty, reliability, objectivity, and independence. These principles are discussed in the The European Code of Conduct for Research Integrity¹ of the European Science Foundation. All Participants are strongly encouraged to read this document.

6. Resolution of conflict

In the case of a conflict among Participants regarding Data Sharing and Property Rights, it will be examined by the the CEBA Direction Board. In case this conflict falls under the terms of section 5 of the Consortium Agreement, it will be further transmitted to the Steering Committee (*Conseil des Tutelles*). The guiding principle for conflict resolution will be by implementing a dialog between the actors under the auspices of the Direction Board.

7. Relation with other texts

The present document is intended to clarify data sharing procedures on a daily basis, and help with conflict resolution among participants.

The CEBA Consortium Agreement regulates the inter-institutional property rights (section 5, production of novel knowledge). In cases where the present document and the Consortium Agreement may be interpreted as conflicting, the latter should supersede the former.

All CEBA researchers must follow the national laws concerning collection and export of all data gathered by researchers of the various Amazonian countries. They should be aware and follow the terms of the Convention for Biological Diversity.

¹ http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf