Guidelines for CSULB Building Infrastructure Leading to Diversity (BUILD) Program Products and Projects

[adapted from the NIGMS Diversity Program Consortium (DPC) Core Guidelines]

A. CSULB BUILD Initiative and Diversity Program Consortium (DPC)

California State University, Long Beach (CSULB) is involved in a large effort funded by the National Institutes of Health (NIH) to support students and faculty in biomedical, behavioral, clinical, and social science fields through the CSULB Building Infrastructure Leading to Diversity (BUILD) Initiative. The aim of this multi-year initiative is to increase the availability of mentored research and training opportunities for underrepresented students seeking doctorate degrees. Phase II of the CSULB BUILD Initiative (BUILD II) holds two primary goals: institutionalization of the program and dissemination of the best practices.

All ten BUILD programs nationwide are part of the NIH Diversity Program Consortium (DPC). The consortium also includes the Coordination and Evaluation Center (CEC) at the University of California, Los Angeles (UCLA) and the National Research Mentoring Network (NRMN) programs. The CEC works with NIH to (a) provide operations and data coordination and support and (b) conduct a longitudinal evaluation of BUILD and NRMN. These NIH initiatives are designed to promote diversity in the NIH-funded biomedical, behavioral, clinical, and social sciences research workforce. While the CEC has its own IRB approval for its consortium-wide and longitudinal data collection, the CSULB BUILD II staff facilitates data collection of surveys administered by the CEC and request those data from the CEC.

CSULB BUILD collects, analyzes and reports program and evaluation data from CSULB faculty and undergraduate students, BUILD staff members, CSULB administrators, and BUILD partners with the CSULB Center for Evaluation and Educational Effectiveness (CEEE) leading the local evaluation efforts at CSULB. The CSULB BUILD Program also supports and participates in the evaluation efforts by the CEC. The CEC has planned a series of "core" outcome and process papers that respond to the RFA-directed evaluation of the Consortium as a whole in relation to the *major Hallmarks of Success*. The Executive Steering Committee of the DPC approved the primary analyses as part of the overall evaluation in 2015 in order to produce evaluation papers that reflect actual progress across the consortium according to the approved Consortium Wide Evaluation Plan (CWEP). In order to build on the expertise across the consortium and acknowledge the broad participation in the program interventions, the CEC invites participation from DPC members who are outside the CEC for core outcome papers that use CWEP data.

The following documents should be reviewed or consulted as one develops a proposal for dissemination to align with the DPC policies and guidelines:

1. DPC Policies & Guidelines for Publications
   i. PPsC_Guidelines_ESC_Approved_040920.pdf
   ii. DPC_Style_Guide_042020.pdf
   iii. CWEP_Data_Methods_Guide_April_2020.pdf
   iv. Data Sharing Agreement Phase II.pdf
2. Hallmarks
   i. DPC_Hallmarks_ESC_Approved_March_2019.pdf

B. CSULB BUILD Program's Dissemination Plan and Guidelines

The CSULB BUILD Program intends to publish data collected/analyzed during BUILD Phase I (2014-2019) and BUILD Phase II (2019-2024) in relation to the major hallmarks (see BUILD RFAs) and initiatives developed during the award periods from all relevant Cores (Administrative, Institutional Development, Research Enrichment, and Student Training). In order to facilitate timely and high-quality dissemination

products such as conference presentations and publications, we propose to use the following process (NOTE: these guidelines were adapted from the CEC Guidelines; authors intending to use consortium-wide data in addition to the CSULB BUILD program data will need to consult CEC guidelines). These guidelines will be in effect for the entire period of BUILD funding and remain in effect until June 30, 2028 (4 years after the end of BUILD funding). After this period, the BUILD PIs will make a subset of the unidentified data available for university-wide use on a first-come first-served basis (NOTE: at that point the available data set will be treated as a publicly available data set for secondary analyses by anyone at CSULB with the only requirement for use and publication to be acknowledging the BUILD funding source for the data).

The BUILD II PIs (Drs. Chi-Ah Chun, Jesse Dillon, Simon Kim, Panadda Marayong, and Kim Vu) plan to prepare <u>at least one article and/or presentation for each Core during each year of the BUILD II phase</u>. If not participating as an author, the PIs will determine who should be the project or program leads to take leadership on them as well as potential co-authors.

Please consult Chi-Ah Chun, BUILD II Contact PI, and the BUILD II Dissemination Plan when it becomes available (link will be provided) as you develop your initial ideas for a possible conference presentation, publication, or other kinds of dissemination product or project.

C. <u>Types of Available Data for Dissemination</u>

The guidelines described below are in place for investigators interested in using any of the following CSULB BUILD data:

- **Internal Program Data:** Institutional, faculty and/or student trainee program data collected by the CSULB BUILD Program;
- **Evaluation Data:** Evaluation data collected by the CSULB Center for Evaluation and Education Effectiveness (CEEE);
- **Consortium-Wide Evaluation Program (CWEP)/Higher Education Research Institute (HERI) Data**: CWEP and/or HERI survey data collected by the CEC at UCLA on the faculty and undergraduate students in the four participating colleges (i.e., Colleges of Engineering, Health and Human Services, Liberal Arts, and Natural Sciences and Mathematics) at CSULB only.*

  * Any interests in addressing consortium-wide research questions that require more than the CSULB CWEP or HERI survey data will need to be routed through the DPC's Publication and Presentation Subcommittee (see Note below).

D. <u>Overview of Proposal and Data Request Procedures</u>

The process below should be followed for dissemination products or projects involving CSULB BUILD program and evaluation data. (NOTE: These guidelines were adapted from the CEC Guidelines; authors intending to use consortium-wide data in addition to the CSULB BUILD program data will need to consult CEC guidelines.)

1. Proposal for Products or Projects Using CSULB BUILD Data
   a. Preparation of the Proposal
      i. Develop a short narrative for your dissemination idea with a tentative title and possible team members.
      ii. Consult the CSULB BUILD Program and Evaluation Data Directories, ongoing and prior dissemination work (see CSULB BUILD website for complete listing), and Chi-Ah Chun, the CSULB BUILD II Contact PI to perform a preliminary determination of the feasibility of the project.

   iii. Things to consider:
     1. Potential significance of the dissemination idea
     2. Potential overlap with the CSULB BUILD Dissemination Plan, other previously approved dissemination proposals, and past dissemination products and projects
     3. DPC Hallmarks listed in the *CSULB BUILD Program and Evaluation Data Directory*
     4. Availability of relevant data – program year(s), program element(s), type of data (program data, evaluation data, CWEP/HERI survey data), constructs/variables of interest

b. Submission of Proposal: The lead author will submit a *Proposal Form for Products and Projects Using CSULB BUILD Data* and an *Authorship Agreement Form* to Chi-Ah Chun, the CSULB BUILD contact PI for approval. [Please see E. Authorship Agreement, Decision and Disputes if there will be 2 or more co-authors.]

c. Review and Approval Process for Proposals
  i. The Dissemination Review Committee which consists of the contact PI, Dissemination Research Fellow, Program Data Manager, Evaluator, and PI(s) of relevant core(s) will review all proposals on an *ad hoc* basis, within 2 weeks of submission.
  ii. The Committee may make suggestions for inclusion of other co-authors or indicate if there are project or program personnel who should be consulted.
  iii. If the proposal is not approved, the requestor may petition the decision and ask the proposal to be reviewed by AVP Simon Kim, the CSULB BUILD Program PI and the Admin Core Co-Director.

2. Data Request for CSULB BUILD Program Dissemination Proposal
 a. Preparation of the Data Request Form
   i. Data requests can be made using the *Data Request for CSULB BUILD Program Dissemination Proposal* form only after the *Proposal for Products and Projects Using CSULB BUILD Data* has been approved.
   ii. For local CSULB BUILD Program and Evaluation data, consult the *CSULB BUILD Program and Evaluation Data Directories* and Program Data Manager Nancy Zuniga to generate a list of variables of interest. [The data directories are available upon request from the Program Data Manager.]
   iii. For other BUILD sites' CWEP and/or HERI survey data, please work with Dissemination Research Fellow, Rocio Mendoza, to access the necessary documentations to generate a list of variables of interest.
 b. Submission of Data Request Form: The lead author will submit a *Data Request for CSULB BUILD Program Dissemination Proposal* form to Chi-Ah Chun, the CSULB BUILD contact PI for approval.
 c. Review and Approval Process for Data Requests
   i. The Dissemination Review Committee will review all data requests on an *ad hoc* basis, within 2 weeks of submission.
 d. Post-review/approval Process
   i. Once the data request is approved, the requested data are released within 2 weeks of approval to the author/co-author(s).

ii. The author/co-authors have <u>one year in which to complete writing the product or project (e.g., conference presentation, manuscript submission, technical report) from the data release date</u>. If not finished in this timeframe (or not accepted), then (a) the PI (who gave the original approval) may extend the timeframe if there has been sufficient progress and the author/co-authors provide a revised timeline for completion OR (b) the data will be released for use by others.

E. **Authorship Agreement, Decisions, and Disputes**

When two or more individuals plan to collaborate on *a Presentation/Publication/Grant Proposal,* we request that a preliminary authorship decision be made prior to making a data request and the *CSULB BUILD I/II Authorship Agreement Form* be submitted along with the *Proposal Form for Products or Projects Using CSULB BUILD Data.*

Authorship order of the BUILD presentations and publications shall be in order of contribution as recommended by the NIH (see www.ncbi.nlm.nih.gov/pmc/articles/PMC1769438/). In addition, the authorship decisions should follow the ICMJE guidelines http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html. PIs and project/program leads will work to provide opportunities for co-authorship for all who have worked on/contributed to BUILD initiatives. This includes contributions in the four areas below which are beyond routine assistance/technical support and the provision of existing literature/data.

1. Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
2. Drafting the work or revising it critically for important intellectual content; AND
3. Final approval of the version to be published; AND
4. 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.

The lead author has the responsibility of keeping authors informed about the progress on the paper and engaging all authors in the paper analysis, writing, and thought process. In addition, the lead author will assure that other authors fulfill their stated areas of contribution to the manuscript. We recommend that if any authors are not seen as making substantial contributions as planned, they should be made aware of this during the writing process. The lead author, in consultation with the group of authors, should have final determination that those initially named on the paper meet the criteria for contributions prior to submitting the article and may remove any co-author who is deemed to not have met the criteria satisfactorily. If the lead author is not maintaining a satisfactory level of activity, a majority of authors (or the contact PI) can name a new first author; the former lead author may continue as a contributing author if they meet the criteria listed above.

If there is a dispute amongst the co-authors, it should be brought up to the BUILD Contact PI and a mediation meeting shall take place with AVP Simon Kim, the entire team of co-authors, and any BUILD PIs or Co-Directors from the relevant core/project.

F. <u>NIH BUILD Grant Acknowledgment</u>

Regardless of authorship, all presentations and publications will acknowledge the relevant BUILD funding awards (UL1, TL4, and/or RL5 from BUILD I and BUILD II). Please refer to the Approval Form for the appropriate award numbers.

G. Duration of Guidelines in Effect

These guidelines will be in effect for the entire period of BUILD funding and remain in effect until June 30, 2028 (4 years after the end of BUILD funding). After this period, the BUILD PIs will make a subset of the unidentified data available for university-wide use on a first-come first-served basis (NOTE: at that point the available data set will be treated as a publicly available data set for secondary analyses by anyone at CSULB with the only requirement for use and publication to be acknowledging the BUILD funding source for the data).

As approved by BUILD II PIs on October 19, 2020