

## Ethical Code, Data Sharing & Publication Policy for RAINFOR Participants

### **1. All participants in the RAINFOR project commit to these general principles and code of conduct, designed to promote trust and co-operation 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, the writing, and co-authorship etc. of results) whenever this is appropriate.

### **2. Additionally, all users and providers of data, plus investigators and participants who receive funding in 2008 and after, commit to respecting these specific principles. These principles conform to the terms of the RAINFOR Grant Agreement with Gordon and Betty Moore Foundation and are designed to support a strong, shared ethical approach to our work together.**

2.1 Data will be strictly quality controlled, since errors or biases in diameter measurements, nomenclature, and database coding can impact biomass growth estimates. Quality control will be applied in the field, at the data entry stage, and at the final database checking stage.

2.2 Plot data are held within a custom-built SQL-based, password-protected, internet-accessible system database designed and implemented, to enable better integration of the data with the wider network including giving Amazon plot data-owners online access to their data.

2.3 RAINFOR participants will endeavour to:

2.3.1 Encourage junior participants to develop Masters and PhD theses.

2.3.2 Make any Moore-funded data available online – *subject to intellectual property principles set out below in section 2.4.*

2.3.3 Publish their work and publish cross-site syntheses in national and international journals and presentations.

2.3.4 Contribute to national and international science conferences and promote recognition of project findings in the international policy process in such policy-related forums as the UNFCCC COP.

2.3.5 Contribute to protected areas management plans, as governments become interested in quantifying carbon stocks and processes in protected areas.

2.4 RAINFOR intellectual property rights need to strike a balance between adequately rewarding the efforts of the 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 laboured for years for their hard-won data. Balancing these perspectives, and recognising Gordon and Betty Moore Foundation (GBMF) policy and drawing on experience elsewhere (e.g., LBA), the following code of conduct for managing data generated during this project will apply.

2.4.1 We will make available, on-line, non quality-controlled data within six months of the GBMF-funded fieldwork, with clear caveats for potential users requiring that they only be used in consultation with the collectors, and strong warning about potential quality-control issues. Users will need to register, and confirm that they will respect in full the terms of the RAINFOR code of conduct, before data access is granted. *Any publication or presentation based on non quality-controlled data is strongly discouraged, and will in any case require the agreement of the site principal investigator(s) in Amazonia and the database team in Leeds, as well as respecting in full the RAINFOR code of conduct.*

2.4.2 Once quality control is achieved, the final versions of the data will be made available on-line. Because of the high research volume and the need to ensure quality-control this will be achieved within 24 months of completion of fieldwork of that particular GBMF-funded field campaign. Following standard practice elsewhere (e.g., LBA), there will be clear caveats for potential users requiring that the collectors be informed of any potential use and invited to participate as co-authors in resulting publications or presentations. Data users will need to register, and confirm that they will respect in full the terms of the RAINFOR code of conduct before data access is granted. *Any publication or presentation based on these data requires the agreement of the site principal investigator(s) in Amazonia and the database team in Leeds, as well as respecting in full the RAINFOR code of conduct.*

2.4.3 Data quality control is the responsibility of the principal investigators, their post-doctoral research assistants, and all RAINFOR site collaborators.

2.4.4 Sites that receive GBMF funding for plot census work are encouraged to also make their previously collected plot census data available, but this will not be a condition of funding.

2.4.5 Local investigators will be encouraged to publish their findings, both in site-specific, and comparative studies.

2.4.6 Where data are used for modelling or large-scale integrating studies, the scientists responsible for collecting the data have an automatic right to co-authorship in any resulting papers or presentations that publish significant aspects of their site data, irrespective of their level of involvement in the analysis and writing of the final paper, for five years after data are contributed. All 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.

2.4.7 The right to automatic co-authorship is retained for five years after contribution of the data. When *only* data that were contributed five or more years before the submission date of a manuscript are used from a site, the role of that and other such sites' principal investigators may be reflected by the use of the term "the RAINFOR Consortium" in the author list. The title page of the manuscript will then also include the names of all the relevant contributing members of the RAINFOR consortium as a footnote.

2.4.8 To promote transparency and properly reward contributions, the lead author of any paper using RAINFOR data has responsibility for ensuring that all co-author contributions are defined in that paper (either on the title page or in the acknowledgments). We recommend that it be clear who was responsible for: conceiving the idea, designing the experiments or sampling design, collecting the field data, performing the laboratory analysis, contributing materials or analysis tools, analysing the data, and writing the paper.

2.4.9 Notwithstanding all of the above, data users will always have to state in their paper or an electronic appendix the source of the data for each site.

2.4.10 All data users will be required to sign a fair use policy, which requires them to inform the co-ordinators of RAINFOR of their proposed scientific question(s) well in advance of any submissions, and to be willing to invite co-authorship from data contributors.

## Data Sharing & Publication Policy for LBA Participants

(See also [Fair Use Policy for LBA Data](#))

Approved by the LBA Science Steering Committee, May 13, 1998 Piracicaba, SP, Brazil

Revised June 2005

### INTRODUCTION

LBA data policies are guided by the fundamental principle that cooperation and synergism should be maximized in all LBA activities. To ensure that all LBA 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 LBA.

LBA data policies will guide data sharing, citation of data from other, investigators access to restricted data and promote the exchange of quality controlled / quality assured data. All LBA researchers must follow the national laws concerning export of all data gathered by foreign researchers of the various Amazonian countries, notably Brazil. The [LBA home page](#) and the project offices in Brazil can provide this information.

### LBA DATA AND PUBLICATION POLICIES

- 1. Data generated by LBA will become public domain** and will be permanently archived in Brazil. The LBA Data Information System (DIS) will provide tools for documenting, storing, searching and distributing these data.
- 2. All LBA data should be available to all LBA researchers.** Exceptions may be made in the case of raw or preliminary data, for which distribution can be restricted for a limited period of time.
- 3. There will be no periods of exclusive rights to publish** LBA results. Exceptions are possible for students where graduation requirements prohibit publication of results prior to acceptance of a Thesis.
- 4. Individual investigators may make their own data** more widely available at any time. Outside investigators may be given access to this data as soon as the data have been submitted to the LBA DIS, with some prudent time period for quality control.
- 5. Each LBA module is responsible for establishing** a time schedule for data exchange within the projects and data delivery to LBA DIS. The time limit for data delivery to LBA-DIS will be no more than one year.

**6. Data should be analyzed cooperatively by all scientists involved** in obtaining them. Especially cooperation across disciplines and among South American, European and North American researchers should be encouraged. Publications resulting from work under LBA 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. Special effort by each non-South American researcher should be put into integration of South American researchers in their work and in the publication of the results.

**7. 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.

**8. Specific constraints for certain data sources** (e.g. satellite products, global meteorological analysis, etc) may be subject to copyright restrictions which are more limiting than this LBA data policy. It is up to the LBA-OIC to take the first steps in making contacts with officials and institutions in order to prepare specific agreements that will allow LBA scientists to use the data.

**9. If conflicts do occur,** they should be resolved at the level of the LBA modules.