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Publication Guidelines for Global Smart Drinking Goals Program Participant Authors

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Introduction

AB InBev Foundation (the “*Foundation*”) is a non-profit organization created by Anheuser-Busch InBev SA/NV (“*AB InBev*”) to help advance the company’s Global Smart Drinking Goals (“*GSDG*”) Program (the “*GSDG Program*”). The Foundation’s mission is to reduce harmful drinking globally by identifying effective, science-based programs and policies for public-private partnerships to advance positive social and behavior change. The Foundation plays a key role in the GSDG Program by:

- Offering local city pilot Steering Committees technical assistance and support for evidence-based interventions,
- Supporting the training of healthcare providers,
- Advancing alcohol health literacy as an approach to reduce harmful drinking, and
- Supporting transparent and verifiable monitoring and evaluation of the progress in achieving the GSDGs.

The Foundation’s Guiding Principles are:

- *Transparency*: Sharing what it does and learns with others,
- *Local Leadership*: Demonstrating multi-sectorial, community collaborations, empowered by evidence-based interventions and external experts,
- *Academic Integrity*: Advancing the knowledge base by supporting independent, technical experts to implement and evaluate programs, and publish their own work and conclusions.

The objective of these Publication Guidelines for Global Smart Drinking Goals Program Participant Authors (these “*Publication Guidelines*”) is to:

- Communicate the Foundation’s principles as regards the dissemination of information about the GSDG Program;

- Share its expectations and requirements of GSDG Program Participants¹ who may author papers or presentations on the GSDGs; and
- Provide guidance to Participants on related operational procedures.

The Foundation may update or modify these Publication Guidelines from time to time.

Publications and Presentations about the GSDG Program

One of the Foundation’s mandates is to advance knowledge about effective approaches to reducing the harmful use of alcohol. To this end, the Foundation encourages Participants to publish and present on the Global Smart Drinking Goals in professional venues, including publication of original research, reviews, and short communications (such as letters and opinion articles), as well as presentation of abstracts, posters or oral summaries at research meetings and conferences. Such publications and presentations are referred to in these Publication Guidelines as “*Publications*,” and their creators as “*Authors*” or “*Co-Authors*,” as applicable. The Foundation supports dissemination of information on a broad range of GSDG topics, including: community needs; capacity or readiness assessments; descriptions of particular populations; discussions of program design or management; evaluations of program governance; audits and quality reports; and evaluations of program effectiveness.

The Foundation endorses the following principles:

- **Authors have ultimate control** over Publication content as well as decisions associated with publishing. While it is possible that the Foundation or TAG non-authors may hold views that differ from those expressed in a Publication, the Authors have final authority over a Publication’s content. Neither AB InBev nor the Foundation will have approval rights regarding the content of Publications, with the exception outlined below with respect to “timely publication.” The Foundation will not attempt to manage, facilitate, control or otherwise influence the drafting, review or editing of the content of a Publication nor will it withhold or suppress data or alter investigators’ discussions of the implications of research findings. Any Foundation or AB InBev personnel who is listed as a Co-Author on a Publication has the same rights and responsibilities as any Author. The Foundation does not endorse the involvement of marketing personnel who are not named Author(s) in producing Publications based on GSDG Data.
- **Timely publication** of research findings, regardless of the outcomes. The Foundation believes it is important to publish results from final data from completed studies, as preliminary or partial (including interim) data may provide an incomplete, biased, or otherwise erroneous understanding of the phenomenon under investigation. The Foundation also understands that in multi-site, multi-wave studies, key papers may be based on a subset of data collected across sites or time. In cases where Authors wish to use preliminary data (*e.g.*, for conference presentations) or partial data (*e.g.*, subset of datasets that have additional waves or sites), the TAG, at its discretion, will have the right to review plans for such a Publication and, in consideration of the purpose of the

¹ “*Participants*” include the Foundation’s Implementation Providers; Measurement & Evaluation Contractor; Labeling Contractor; Technical Advisory Group (“TAG”) members; City Pilot Steering Committee members; and City Pilot Coordinators.

Publication, determine the appropriate timing for the disclosure of the preliminary or partial data the Author wishes to use. When Authors produce Publications based on preliminary or partial datasets, it is important that they convey the limitations of the datasets they have used in those Publications. The procedure for required notice and review is described in the section below on Foundation Publication Processes.

- **Transparency** as regards the role of each Author. Any potential or actual conflicts of interest; funding support received by Authors; the role a funder may have played in any aspect of the research or publication process (from study design to manuscript submission); and the role of any scientific writing support.

To advance transparency, the measurement and evaluation provider designated by the Foundation (the “*M&E Contractor*”), which maintains the GSDG Data Repository,² will also make GSDG Program Data³ available to qualified external researchers for use in a manner consistent with these Guidelines.

- **Research and publication ethics**, including ethical approval for any research involving human subjects, protection of the privacy of research subjects, objectivity in reporting results, sufficient detail for studies to be replicated, and appropriate citing of the work of others.
- **Open access**, wherein articles are freely available to publication subscribers and the wider public, and reuse is permitted.

Expectations and Requirements of Authors

The Foundation recognizes that academic Authors adhere to a variety of Publication policies mandated by professional journals and conference organizers. The Foundation expects Authors who are authoring or presenting on the GSDGs to adhere to the standard of the journals or conferences where they plan to publish or present. In addition, the Foundation expects Authors to adhere to these commonly-accepted academic standards:

1. **Substantial Author Contributions:** The Foundation expects that all listed Authors will have made a substantial contribution to one or more of the following steps:
 - a. Conceptualization and design of the study, collection of the data, or analysis of the data;
 - b. Drafting or critical revising of the article for intellectual content; and/or
 - c. Final approval of the version that is submitted.

² “*GSDG Data Repository*” means a centralized electronic repository maintained by the M&E Contractor to facilitate sharing of GSDG Program Data.

³ “*GSDG Program Data*” means (a) any data, analyses, reports, studies or other information or materials created for the GSDG Program other than peer-reviewed scientific publications in scientific journals, books and conference proceedings; or (b) any data contributed to the GSDG Program or derived from such contributed data other than data published in, and a part of, peer-reviewed scientific publications in scientific journals, books and conference proceedings.

The Foundation expects that those contributors not meeting the criteria for authorship, but having made contributions to an article, will be listed in the article's Acknowledgements, unless they have declined to be listed.

The Foundation expects Authors to be accountable for all aspects of their work and to ensure that questions about the accuracy or integrity of any part of a Publication are appropriately investigated and resolved.

2. **Conflicts of interest:** The Foundation expects that Authors will disclose any actual or potential conflicts of interest of a financial or non-financial nature that could be perceived as biasing their work or inappropriately influencing their professional judgment. This includes financial ties or obligations to, or personal relationships with, the research sponsor or other companies, such as grants, contracts, consultancy fees, honoraria or material equity. The Foundation urges that these disclosures be made public in all articles published in peer-reviewed journals as well as in abstracts (as space allows), and in posters and oral presentations at conferences, regardless of whether disclosure is requested by the journal or conference.
3. **Declaration of Funding Support and Role of Funder:** Authors must disclose the role of the Foundation and/or AB InBev, as applicable, in connection with any Publication, including: (i) that they have received funding support from the Foundation or AB InBev, as applicable; and (ii) the identity of any Co-Authors and their roles, as applicable, in study design; collection, analysis, or interpretation of data; writing of a manuscript; and the decision to make the presentation or submit the article for publication. Such funding acknowledgement shall include the following statement (or such other statement as may have been approved by the Foundation): "The research and preparation of this [manuscript] were supported by funding from AB InBev Foundation [or AB InBev]. The content is solely the responsibility of the authors and does not necessarily represent the views of AB InBev Foundation, AB InBev or any of their affiliates."
4. **Research Ethics and Consent:** The Foundation expects that Authors have received ethical approval of any research involving human subjects and that manuscripts based on human subjects data (whether collected by the Authors or their vendors) will contain a statement 1) listing the ethical committee(s) that approved (or exempted) data collection and privacy protections, 2) stating that subjects gave informed consent to the work or that the data collection was exempted from consent requirements, and 3) indicating whether informed consent was verbal or written.
5. **Privacy:** The Foundation expects that Authors will respect individuals' rights to the privacy and confidentiality of their personal information. Accordingly, Authors may not include any Personal Data⁴ pertaining to any research subjects in any Publication.
6. **Publication Ethics:** The Foundation expects that: 1) Authors will present an accurate account of the work and an objective discussion of its significance; 2) data will be represented accurately; 3) that sufficient detail will be provided to permit others to

⁴ "Personal Data" means any information relating to an identified or identifiable natural person.

replicate the work; 4) review Publications will be accurate and objective; 5) opinion articles will be clearly identified as such; 6) quoted or cited material in the public domain will have appropriate citations; 7) permission will have been received for any quote not in the public domain along with a citation to the quote's source; and 8) any Author who discovers a significant error or inaccuracy in their work, will notify the Foundation.

Publication Process

1. **Notice of a Plan for a New Publication:** Authors must provide the M&E Contractor with advance notice of, and the opportunity to review, planned Publications. In addition, the TAG will have the right to review any proposed Publication. The TAG may determine the timing of any such proposed Publication that is based on preliminary or partial data. Accordingly, Authors are required to inform the M&E Contractor of plans for a new Publication at least 45 days prior to the date of submission. The following information is necessary for notice to be considered completed:

- **Publications:** Name of lead Author; “coordinating Author” (has primary responsibility for communicating with the M&E Contractor); tentative list of all Co-Authors; draft title; name of intended journal; detailed summary/abstract (to include research question(s), specific datasets [and waves] to be used, key variables to be used, and analysis plan); available information regarding administrative expectations (e.g., ethical approval, conflict of interest); and request to use preliminary or partial data (if applicable);
- **Presentations:** Name of tentative speaker; coordinating Author; tentative title of presentation; name, date, and location of conference/congress; detailed abstract (to include research question(s), specific data sets [and waves] to be used, key variables to be used, analysis plan), available information regarding administrative expectations (e.g., ethical approval, conflict of interest); and request to use preliminary or partial data (if applicable).

The M&E Contractor will use the information provided to review and give comments on the plans for Publication. Such comments may address, among other things, the appropriateness of the proposed study design, the methods used, and the data analysis plan. The M&E Contractor will also note which administrative expectations or requirements have been supplied to date. In conducting the scientific review of the planned publication, the M&E Contractor may ask select members of the TAG to participate in these reviews as appropriate, given their individual expertise. The result of the review will be documented on a review form where reviewers will provide comments on the design, methods, and analysis plan. Reviewers will forward their reviews directly to the coordinating Author of a publication with a copy to the M&E Contractor member managing the review process.

The coordinating Author is responsible for providing the M&E Contractor with all information required to ensure the Foundation's administrative requirements are met. These may include details of authorship, ethical approvals (or waivers granted), registration documentation, conflict of interest statements, and Author's

acknowledgement of compliance with all relevant laws, rules and regulations. Many of these expectations or requirements will be known and should be included at the time the notice of a planned publication is submitted, while others will only be known once the draft is ready for submission (e.g., assurances of authors' contributions) and will need to be supplied in the next stage of the publication process.

The coordinating Author should direct any requests to publish preliminary or partial data to the M&E Contractor. The M&E Contractor will share the request with the TAG. The TAG and the M&E Contractor reviewers of the notice will also document in their reviews whether the planned publication appears to involve the use of partial or preliminary data. In cases where it is unclear, the TAG will make a determination regarding whether a publication involves the use of partial or preliminary data. The TAG, at its discretion, has the right to review manuscript plans for such a Publication and determine the appropriate timing.

Notwithstanding this review process the applicable Author(s) remain wholly responsible for the ultimate content of any Publications.

2. **Sharing a Draft of a Publication Prior to Submission:** Authors are required to provide to the M&E Contractor a final draft of any planned Publication at least 30 days prior to submission (unless the Author's contract stipulates a different timeframe). The following information should be included in or accompany the draft:
 - **Publication:** Final draft of the Publication planned to be submitted, name of lead Author, coordinating Author, title, abstract, final list of Co-Authors and their roles in the Publication's development, and the name of the journal. The Author should address in the final draft any administrative requirements or expectations not available at the time of notice.
 - **Presentation:** Final draft of slides to be submitted, name of speaker, coordinating Author, title, abstract, name, date, and location of conference/congress. The Author should address in the final draft any administrative requirements or expectations not available at the time of notice.

The full draft will be sent out for scientific review to the original TAG and M&E Contractor reviewers of the notice. Additionally, members of the SPTF will be invited to participate in the review of full drafts. The M&E Contractor will provide to SPTF members the draft publication's title and abstract, and the due date for comments. Those SPTF members interested in reviewing the draft will contact the M&E Contractor staff person managing the publication process to request a copy of the draft. All reviewers will send their comments on the review form directly to the coordinating Author of a publication.

While the scientific review of the full draft is occurring, the M&E Contractor will perform the following checks:

- Verify that neither Administrative Confidential Information⁵ nor Personal Data pertaining to research subjects is disclosed. If such information is included in the Publication, the M&E Contractor will ask the Author to remove it.
 - Verify that the Publication (i) notes that data presented in the article is available from the GSDG Data Repository and (ii) includes contact information for external researchers to request access to GSDG Program Data. If such information is omitted from the Publication, the M&E Contractor will ask the Author to add it.
3. **Publication Communications:** The Foundation’s Communications Department may be in touch with Authors prior to a planned Publication in order to coordinate the public sharing of information related to the GSDG Program. The Foundation will coordinate the release of information about a pending Publication with the relevant journal or conference.

⁵ “Administrative Confidential Information” means all information relating to the GSDG Program which was created by or on behalf of the Foundation or its affiliates except GSDG Program Data or other information necessary to validate research findings. Examples of Administrative Confidential Information include internal memos, meeting minutes, marketing information, and business intelligence.

Publication Process

