

CARDIA STUDY

ANCILLARY STUDY POLICY

An ancillary study is defined as one that derives support from other than CARDIA contract funds, and makes new or additional measurements on CARDIA participants or uses banked specimens collected by the CARDIA Study. The CARDIA investigators recognize the value of and welcome the addition of those ancillary studies judged to be of general interest and high scientific merit; that do not duplicate or interfere with existing CARDIA activities; that do not constitute an unacceptable burden on CARDIA participants, staff, or specimen banks; and that are in line with CARDIA objectives. Proposals that heavily overlap with existing CARDIA projects will receive a relatively lower priority as will those that are deemed not to be consistent with CARDIA Study objectives or to otherwise not enhance the overall study. CARDIA investigators are encouraged to consider ancillary studies and to involve other investigators, within and outside of the study, to participate in this process.

General Policies

The general policies include the review and approval of a formal proposal by the CARDIA Executive Committee and the CARDIA Review Board, which serves as the study's NHLBI Observational Study Monitoring Board. More specifically, the following are mandatory:

1. *Involvement of CARDIA Investigator.* A CARDIA investigator must be involved as either the principal investigator or a co-investigator on each ancillary study proposal and is responsible for presenting the study to the Steering Committee. The CARDIA investigator is also responsible for assuring the study's continuing compatibility with CARDIA. In addition, each manuscript and abstract derived from the ancillary study must include a CARDIA investigator. A list of eligible CARDIA investigators is on this webpage.

2. *Approval by the CARDIA Executive Committee.* Proposals for ancillary studies are to be submitted to the Chair of the CARDIA Study Executive Committee, who will see that eligible proposals are reviewed by the Committee at the next scheduled Committee meeting that is at least one week after the completed proposal package is received by the Chair. The Executive Committee will review the scientific merit of the proposal and determine if it will interfere with other parts of the protocol, deter participants from continuing to participate in CARDIA, or use excessive banked resources. Ancillary Study proposal applications should conform to the Instructions to Applicants posted on this website.

3. *Approval by the CARDIA Review Board.* The NHLBI Observational Studies Management Board for CARDIA (Review Board) also must review and approve all ancillary study proposals. The Chair of the Executive Committee will forward proposals it approves to the Executive Secretary of the Review Board for that group's review.

4. *Funding requirements.* Investigators applying for an ancillary study must be prepared to provide all additional funds needed for the study. The Executive Committee will be concerned with both the

obvious and the hidden costs to CARDIA entailed by an ancillary study, including the costs to the CARDIA investigators for managing or overseeing CARDIA's role in the study, for obtaining appropriate IRB or other approvals, and for costs to the Coordinating Center for coordinating additional data collection, data transfer, and archiving and distributing datasets (including, as necessary, preparing limited access data sets to be submitted to NHLBI – see Section 6 below for description of the limited access data sets).

5. *Publication and presentation approval.* All manuscript proposals, publications, abstracts, and presentations derived from the ancillary study must be processed through the CARDIA approval process via the CARDIA Study Publications Committee prior to submission.

6. *Data sharing and data distribution.* Ancillary study principal investigators will be given the first and exclusive opportunity to analyze, present and publish data collected under the auspices of their ancillary study. After a reasonable period, typically 12 months after data collection and editing have been completed, ancillary data are to be provided to the CARDIA Coordinating Center for integration into the main CARDIA database and, potentially, for use in the publications and presentations of other CARDIA investigators. Requests for exceptions should be communicated formally to the Executive Committee.

Limited access data will be released under the CARDIA study to NHLBI. Limited access data refers to study data, with certain deletions and recoding, that are released to requesting institutions and investigators for specific purposes and with certain restrictions and conditions. Limited access data will be made available to the public in accordance with the NHLBI policy for Distribution of Data (http://www.nhlbi.nih.gov/resources/deca/policy_new.htm) as revised on June 27, 2005; this policy requires that data from studies ancillary to CARDIA be included in the limited access data set submitted to NHLBI after October 1, 2005.

7. *Use of existing data for publication.* If only use of existing data collected by the CARDIA Study is requested, without any additional data collection or use of banked specimens, for the purpose of a manuscript, an ancillary study proposal application need not be submitted. Rather, please submit a manuscript proposal approval request to the CARDIA Publications and Presentations Committee (http://www.cardia.dopm.uab.edu/pdf/policy_ms_1002.pdf).

8. *Dissertation or thesis.* The use of CARDIA study data for dissertations or theses is encouraged, although some aspects of the graduate student work with CARDIA data need special consideration. Approval for the use of existing data should be directed to the CARDIA Publications and Presentations Committee (http://www.cardia.dopm.uab.edu/pdf/policy_ms_1002.pdf). However, if additional data is requested to be collected, an ancillary studies application is required.

9. *Quality Control.* Every ancillary study should include a detailed description of quality control procedures as a part of the proposed study. Results from all quality control activities should be reported to the CARDIA Coordinating Center on a regular basis, as appropriate and outlined in the proposal.

10. *Specimen Use.* All ancillary studies using banked CARDIA specimens will need to submit a report on how specimens were handled and stored, and their final disposition after analyses are completed.

Specific Procedures and Requirements

There are several specific requirements that need to be addressed for the submission of an ancillary study proposal and the completion of the study:

1. *Industry Funding.* Ancillary study investigators must agree not to enter into any verbal or written agreement or contract with industry or private individuals that will provide funding for any activity related to CARDIA data without prior review and written approval of the CARDIA Executive Committee. In addition, the investigators must also provide NHLBI with a written Third-Party Agreement that complies to NHLBI guidelines as described on the NHLBI website, <http://www.nhlbi.nih.gov/funding/policies/thirdparty.htm>.

2. *Confidentiality of Individually Identifiable Data.* Maintenance of confidentiality as related to the potential identification of individual CARDIA participants is a critical issue for the CARDIA Study. Confidentiality of individually identifiable data about CARDIA subjects must be assured. No personal identification will be provided to ancillary study staff. Further, it is unlikely that ancillary study investigators will be able to identify and contact subjects in the future, particularly after the CARDIA Study ends as participants will be identified only by CARDIA ID.

Further, the ancillary study investigators are to provide documentation that they have current certification of IRB and HIPAA training by their institution. They also need to sign and return the CARDIA Confidentiality form to the Coordinating Center.

3. *Submission of manuscripts and presentations.* Authors of ancillary study manuscript proposals, manuscripts and abstracts and slides for presentations must submit these documents to the CARDIA Publications Coordinator at the Coordinating Center and then follow CARDIA procedures for review and approval. Further, this office should be informed of journal submission (dates and journal name), results of reviews (acceptance, rejection or request for revision) and final acceptance by journal.

If there are any changes to an approved manuscript prior to publication, whether required by the journal or not, these changes should be discussed with the co-authors.

4. *Changes after initial approval.* Once an ancillary study is approved, changes in the structure or concept of the study must be approved by the CARDIA Executive Committee.

5. *Requests for use of banked specimens.* Requests for the use of banked specimens, including DNA, will receive especially careful consideration in light of the ongoing need to insure that adequate amounts of frozen specimens are reserved for current and future CARDIA objectives. Careful explanations of the type of material needed, how much and why this quantity of material is needed as well as clear statements as to the proposed disposition of any excess materials.

6. *Specific Field Center approvals.* If the proposed work requires the participation of specific Field Centers, the PIs of those field centers have the obligation to determine if the center will participate in the proposed project based on its impact on prior requirements of the main CARDIA study, and on human subject concerns.

7. Participant burden. A careful and clear assessment of the participant burden created by the proposed ancillary study and the benefit of the information gained in light of this burden is required. The burden posed by the ancillary study will be assessed in the context of the overall participant burden created by other relevant study related activities.

8. Study burden. A careful and clear assessment of the burden the proposed ancillary study will create for the overall study, its participating institutions and support activities is required. Specifically, the burden on participants, to the Field Centers' Principal Investigators and staff, and to the Coordinating Center staff. This includes additional assessments, attaining IRB approval, data management, and other related activities. This burden will also be assessed in the context of the overall burden created by other relevant study related activities.

9. Materials or Data Distribution Agreement. Upon study proposal approval and funding, the Principal Investigator will be required to complete either:

- a. A Materials Distribution Agreement (if biological specimens, scans, or genetic material or genetic data are requested). The completed Materials Distribution Agreement is to be sent to the CARDIA Project Officer at NHLBI with a copy to the CARDIA Coordinating Center and must have attached an MDA approval form signed by all CARDIA Field Center and Coordinating Center Principal Investigators.
- OR** b. A Data Distribution Agreement (if data only is requested) prior to the release of any data by the CARDIA Coordinating Center. The completed Data Distribution Agreement is to be sent to the CARDIA Coordinating Center.

For either a or b, the agreement is study specific and must be completed by all Ancillary Study Principal Investigators.

10. Study Progress reports. After an Ancillary Study is funded and initiated, the Principal Investigator is responsible for submitting semi-annual progress reports on the status of the study. These reports are due each September 1 and March 1, unless otherwise requested by the Coordinating Center. These reports will be included in the CARDIA study's semi-annual Steering Committee Meeting reports. These progress reports should include a summary of the study's activities, including: data/specimens collected to-date, assays and analyses in progress or completed, and manuscripts in progress or published. For studies utilizing DNA or other specimens, information on specimen use and storage should be included; for DNA this should include details of the polymorphisms genotyped and methods utilized

11. DNA Use Report: For studies using DNA specimens, upon completion of genotyping, a paragraph is to be submitted to the Coordinating Center describing the materials and methods that would be suitable for inclusion in publications.

Proposal Review Process

Ancillary Study Proposal applications are submitted to the Chair of the Executive Committee. The Executive Committee reviews the application at their next scheduled meeting, at least one week after application receipt. The review is based on scientific merit and interest, consistency with CARDIA study objectives, non-duplication or interference of ongoing activities, and burden level on CARDIA participants, staff or specimen banks. If approved by the Executive Committee, the application is forwarded, with their approval, to the Executive Secretary of the CARDIA Review Board for the

management of the Review Board's review and approval. The applicant will be notified of eventual approval or not, in a timely manner.