



## Intestinal Stem Cell Consortium Standards of Conduct

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### *Acronyms and Terms Used Throughout Document*

1. **ISCC.** Intestinal Stem Cell Consortium.
2. **NIDDK.** The National Institute of Diabetes and Digestive and Kidney Diseases.
3. **NIAID.** The National Institute of Allergy and Infectious Diseases.
4. **ISCC Steering Committee (SC).** The ISCC SC is composed of the following voting members: 9 ISCC Research Project Principal Investigators (one of which is named as the SC Chair), the ISCC CC Principal Investigator, the NIDDK Representative, and the NIAID Representative (who does not have voting privileges).
5. **CC.** The ISCC Coordinating Center.
6. **Principal Investigator (PI).** The PI of an ISCC Research Project or ISCC CC named on the original parent grant as the Contact PI; voting member of the ISCC SC.
7. **Additional PI.** An ISCC Research Project investigator named on the original parent grant as an Additional PI, are allowed to attend ISCC SC meetings, but do not have voting privileges.
8. **Co-Investigator.** An ISCC Research Project investigator named on the original parent grant as a Co-Investigator, must request attendance at the ISCC SC meetings, and do not have voting privileges.
9. **Staff Member.** An ISCC Staff Member is a part of ISCC research in some form at one of the ISCC Research Project laboratories or CC (CC staff, post-doctoral students, laboratory members, etc.), are not members of the ISCC SC, but are required to agree to the ISCC Confidentiality agreement. ISCC PIs are responsible for informing Staff Members regarding confidentiality of information and use of shared information and resources from the ISCC studies.
10. **Member.** The term ISCC Member is an all-encompassing term which reflects personnel that are members of the consortium (PI, NIDDK/NIAID Representative, Additional PI, Co-Investigator, External

Consultant Member, Staff Member) all of whom are required to agree to the ISCC Confidentiality agreement.

11. **Executive Committee (EC).** The EC is comprised of the SC Chair, the CC PI, the NIDDK Representative, and the NIAID Representative.
12. **External Consultants.** The ISCC External Consultants attend one in-person SC meeting per year to provide input and guidance to the ISCC SC.
13. **Resource.** A chemical, antibody, genetically modified mouse, cell line, technology, method, or dataset that is generated using funding obtained directly from the NIDDK and/or NIAID, or indirectly through the ISCC Coordinating Center.

## **A. Mission and Objectives**

The current mission of the ISCC (to be reformulated by SC members funded through 2019) is to advance the understanding of intestinal epithelial stem cell biology during development, homeostasis, regeneration and disease. The immediate goals of the ISCC are to isolate, characterize, culture and validate populations of intestinal stem cells; answer major questions in stem cell biology of the intestinal epithelium; and accelerate research by making information and resources available to the research community. Long-term goals include: 1) laying the ground work for therapeutic manipulation of the intestinal epithelium 2) contributing to the greater understanding of stem cell biology through knowledge of the intestine as a model stem cell-driven system.

The ISCC is a team-science initiative originally established by the NIDDK and the NIAID in 2009 and continued for a second round of funding through 2019. The ISCC is governed by a SC to coordinate and facilitate research activities for the overall program and to ensure synergy and efficiency. The ISCC CC is housed at City of Hope in Duarte, California and the ISCC Research Projects are housed 9 institutions across the nation: Baylor College of Medicine, Cincinnati Children's Hospital Medical Center, Dana Farber Cancer Institute, Stanford University, Stowers Institute for Medical Research, University of California, Los Angeles School of Medicine (UCLA) (partnered with the VA Greater Los Angeles), University of California, San Francisco (UCSF), and University of Michigan.

Activities within the ISCC are overseen by both NIDDK and NIAID staff members and participating scientists. A Steering Committee (SC), which consists of ISCC PIs (Research Project and Coordinating Center) and the NIDDK Representative, meets monthly via teleconference and face-to-face on a semi-annual basis. An Executive Committee (EC) meets when required. External Consultants serve to provide objective scientific input and guidance. A CC provides the organizational infrastructure for the ISCC.

The timely and unencumbered sharing of ISCC Resources and related information, with ISCC PIs, Additional PIs, Co-Investigators, and Staff Members has contributed to the success of the consortium. Within the consortium a deep sense of trust was slowly established that has enabled meaningful collaborations and sharing to occur. To maintain these values, defined policies and guidelines, and clarification of the penalties for noncompliance, are necessary to avoid confusion among participating ISCC PIs, Additional PIs, Co-Investigators, and Staff Members.

As a condition of participation in the ISCC, all ISCC members acknowledge and agree that they have read and understood, and agree to adhere to these policies, guidelines and principles. It is understood that this document is a statement of the ISCC's Standards of Conduct as of November 2014, regarding the conduct of all ISCC members; however, these Standards may be revised from time-to-time with such revisions being available at <https://isccconsortium.org/>.

## **B. ISCC Executive Committee Oversight**

The ISCC Executive Committee (EC) consists of three voting members: the NIDDK Representative, the CC PI, and the SC Chair. The NIAID Representative is a non-voting member of the EC. The responsibilities of the Executive Committee are as follows: 1) Consider issues that arise on a weekly basis, 2) Recommend a course of action to respond to developing issues, 3) Consider, on a continuing basis, Conflict of Interest and Disclosure issues, and 4) Review participation requests for the bi-annual, in-person Steering Committee meetings (considering total number proposed and use of research funds for travel) and 5) Delegate new responsibilities to standing subcommittees as needed. The EC also reserves the right to request that an ISCC PI, Additional PI, or Co-Investigator deposit resources such as mice, DNA constructs, monoclonal antibodies, genetically modified cell lines, viruses, data sets and other research results made using ISCC funds, to facilitate their distribution to the scientific community at-large. This request may occur prior to the initial publication of the resource, although, in general, the availability of the resource may occur after publication.

## **C. Failure to Maintain Good Standing**

In its oversight capacity, the Steering Committee can in its sole discretion take appropriate actions to ensure proper operation and implementation of the ISCC, including but not limited to the following: ISCC PIs, Additional PIs, or Co-Investigators who fail to maintain good standing within the ISCC, particularly regarding the sharing of information and reagents, or inappropriate disclosure of confidential information, may be subject to sanctions, including the following:

1. A failure to document new resources, the inappropriate disclosure of unpublished data, or the failure to comply with the terms of a scientific collaboration, may lead to the inability to view and/or obtain other unpublished reagents and information.
2. A failure to maintain information about resources being generated may lead to the inability to apply to special programs of the ISCC.
3. A failure to comply with the agreed upon Authorship and Publication Policies.

NOTE: In addition to the above, noncompliance with the terms and conditions of this award may lead to programmatic actions related to the grant.

## **D. Confidentiality of Information**

ISCC Members are obliged to maintain the confidentiality of unpublished information that is disclosed to them, either directly or indirectly, during the course of ISCC meetings and communications. Sources of unpublished information can include data and reagent descriptions, manuscripts and abstracts distributed for review through the Authorship and Publication Subcommittee, unpublished data presented at ISCC meetings, amongst others. However, unpublished information may also be gained by direct disclosure of one ISCC Member to another. Such information should not be shared with any non-ISCC party without the consent of the original contributor(s) of such information, or until the original contributor(s) publishes or otherwise publicly releases such information. Confidentiality and conflict of interest disclosure agreements will be signed each year by all applicable ISCC members and as needed by outside, collaborating investigators.

## **D.1. Confidentiality and Conflict of Interest Disclosure Forms**

All ISCC PIs and their staff must submit updated confidentiality and conflict of interest disclosure forms at least once per year and prior to attending an in-person ISCC SC meeting. Furthermore, anyone attending an in-person SC meeting must submit confidentiality and conflict of interest disclosure forms prior to attending the meeting. The Coordinating Center will compile results for the Executive Committee to review cases in need of clarification and make recommendations to the ISCC SC on addressing, disclosing and managing conflicts of interest, as applicable. The Executive Committee will also consider any conflict of interest issue of which it becomes aware through other sources. Each ISCC PI will include any disclosures as the second slide of their research project presentation for the in-person ISCC SC meetings. SC Meeting presentations and confidentiality and conflict of interest disclosure forms will be posted on the secure portion of the ISCC website.

## **E. Sharing of Information among ISCC Members**

All ISCC PIs, Additional PIs, and Co-Investigators are expected to share information, reagents and data with other members of the ISCC from inception, prior to the initial peer-reviewed publication that describes the development of the resource or reagent, or research results. Since the willingness of ISCC Investigators to share information and reagents depends on the responsible use of these reagents and appropriate scientific attribution, the following sections describe the general expectations for such exchanges in detail.

### **E.1. Sharing of Information about Experiments**

Sharing of information about experiments in progress is intended to minimize duplication and stimulate collaboration between ISCC PI, Additional PIs, and Co-Investigators. However, at the same time ISCC members must recognize that unpublished information may be incomplete, and sometimes even erroneous. Thus, ISCC members are encouraged to directly discuss such data if experiments are being planned that are based on it.

1. Authorship. The use of an unpublished reagent or other key information that leads to a publication necessitates a discussion of authorship with the donating investigator. In general, the prepublication sharing of ISCC resources should be dealt with through scientific collaborations in which the terms for the specific use of the ISCC resource are agreed upon in advance. In general it is expected that ISCC PIs, Additional PIs, and Co-Investigators maintain good scientific relationships with other ISCC members. The failure of an ISCC PI, Additional PI, or Co-Investigator to maintain good scientific relationships due to non-compliance with the terms of a scientific collaboration by them or any member of their staff may result both in a loss of Good Standing within the Consortium and a restriction of their privileges to access information on the ISCC Website.
2. Publications. All publications arising from collaborations that utilize unpublished resources or information from other investigators should include the donating investigator and key laboratory personnel as co-authors, unless explicitly agreed to otherwise. In general, the provider of the resource or dataset has the right to publish the description and use of the resource first. However, at the same time ISCC PIs, Additional PIs, and Co-Investigators must be willing to commit to a reasonable timeframe that does not hinder other users of key resources the ability to publish their own results in a timely manner.
3. Third Parties. Unpublished reagents obtained from one ISCC member by another should not be transferred to a third party without the prior written consent of the originating contributor and only in conformance with existing agreements.
4. Documentation of Collaboration. To facilitate collaboration between ISCC members, the ISCC website has functionality that enables the terms of use for unpublished reagents and datasets between collaborating ISCC Investigators to be documented and updated as needed.

## **E.2. Sharing on ISCC Projects**

It was recognized that sharing of information regarding experiments in the Intestinal Stem Cell Consortium (ISCC), both ongoing and planned, is important to maximizing 1) opportunities for collaboration and 2) efficiency of both scientific progress and use of the budget. Investigators are responsible for providing information to the other members of the ISCC regarding their ongoing ISCC research and any changes to their research. Simultaneously, investigators are responsible for becoming informed of other ongoing and planned research within the consortium and initiating discussion of common interests/overlaps BEFORE research proceeds and prior to any publication approval request.

The ISCC web site, <https://isccconsortium.org/>, is the recommended medium for initial exchange of information. The web site includes a tab for “Research Projects” which includes: details of the 1) original research plans and 2) awarded pilot projects for each investigator. In addition, the Coordinating Center (CC) makes available forms for Principal Investigators to denote changes to their aims, new collaborations, and new research stemming from original aims. These forms will be posted on this site. NOTE: changes to aims require both NIH pre-approval and posting for the ISCC. Investigators must also supply appropriate key words for their research. This information is to be kept current by each PI. The CC will 1) send reminders to PIs (bi-monthly) regarding updating their information 2) send notices to the PIs when an update/change has been posted and 3) construct a dictionary of key-words to provide searchable function so PIs can look for common research interests. The amount of information shared about a given project should be sufficient to inform others of the general area of research interest such that individual follow-up by other interested investigators would be stimulated.

All ISCC Key Personnel and collaborators must sign a Confidentiality Agreement and Conflict of Interest Disclosure Form. Any party attending an ISCC meeting, whether by telephone or in-person, is also required to have Confidentiality Agreement and Conflict of Interest Disclosure Form on file. These forms request: “any involvement that you, your spouse, or your dependent children have in research projects, companies or other entities that have or might have interests in the ISCC, intestinal stem cell research, and/or treatment involving intestinal stem cells.” These are available to all members on the ISCC web site and may serve as another source for discussion of collaboration or overlap (<https://isccconsortium.org/Documents>).

The degree to which PI’s disclose their research that is supported outside the Consortium is at the judgment of the PI. Disclosures of non ISCC projects by UO1 grant collaborators are not required but are encouraged if the project(s) intersect key ISCC interest areas. Whether the project is funded, and by whom, can be helpful to indicate the degree to which the research is independent of ISCC projects. An advantage of disclosure of research areas outside the ISCC may be the enhancement of collaborative opportunities, elimination of overlap, and clear understanding of research that is previous to or independent of areas derived from Consortium discussions.

## **E.3. Sharing Between ISCC and Non-ISCC Members**

All published reagents such as mice, genetically modified ES cell lines, antibodies, and viruses that were made using ISCC funds, either in total or in part, must be freely distributed to investigators at academic institutions who request use of these reagents for non-commercial research. “Freely distributed” is defined as the unencumbered distribution patterned after practices of NIH-sponsored repositories, where distribution is carried out without regard to the requestor’s identity or experimental designs. Individuals found to be in breach of this policy may be subject to sanctions, including possible termination of their award.

1. Distribution. ISCC Investigators who have generated an ISCC Resource will be responsible for distributing

it to all requesting investigators prior to its submission to and distribution by a central repository. To avoid a burden on investigators for resource distribution, investigators are encouraged to consider use of any available repositories or public resources such as the Developmental Studies Hybridoma Bank or the American Type Culture Collection. ISCC Members may ask the requesting investigator to reimburse the reasonable costs for preparing and distributing the reagent. The ISCC Investigator is responsible for consulting with the Project Scientist and/or Grants Specialist regarding any handling of program income. Guidelines for how requests for resources should be routed and managed through the ISCC website will be made available at <https://isccconsortium.org/>

2. **Intellectual Property.** ISCC Investigators are expected to adhere to the NIH Grants Policy on Sharing of Unique Research Resources including the “Sharing of Biomedical Research Resources: Principles and Guidelines for Recipients of NIH Grants and Contracts” issued in December, 1999. Specifically, all material transfers should utilize a Simple Letter Agreement and not have any reach-through requirements. Moreover, should any intellectual property be patented, the technology must remain widely available to the research community in accordance with the NIH Principles and Guidelines document (<http://grants.nih.gov/grants/policy/policy.htm>).

## **F. External Speakers and Consultants**

External speakers and consultants may be periodically invited to participate in ISCC SC meetings. These individuals are given privileged access to a breadth of information that is normally disclosed and discussed at these meetings. They will be expected to sign a Confidentiality Agreement and Conflict of Interest /Disclosure Form if they participate in portions of the meeting where confidential information may be discussed, to maintain confidentiality of this information, and to comply with the all Policies and Guidelines pertaining to the sharing of information. External speakers and consultants will be required to sign this document prior to their attendance at any ISCC event. External speakers and consultants will not be provided with ISCC secure website access.

## **G. The ISCC Website and Its Usage**

A website (<https://isccconsortium.org/>) that supports the operations of the ISCC has been built and is continuing to be enhanced. The website provides an easy way for ISCC members to both gain new knowledge and to fulfill their sharing obligations. This platform facilitates the confidential (password protected) exchange of information and data between ISCC members. Accordingly, the ISCC website has a central role in the operations of the ISCC and ISCC members are strongly encouraged to learn its features, visit the site frequently and recommend enhancements.

As the ISCC entered the next round of funding (2014-2019), the ISCC adopted a plan for archival of the ISCC Website. PIs are requested to alert the CC regarding if they want continued access to their tier and who in their lab needs to have continued access (with the understanding that if the PI does not designate people who should have access, then access will be discontinued). PIs with continued access to any part of the website will be required to sign a new confidentiality form once per year, noting that the policy makes them responsible for lab member access/confidentiality. To account for laboratory and staff turnover, it is recommended that PIs overseeing those individuals (either in Tiers 1, 2 or 3) would alert the CC so a change their tier status can be made to Tier 4. In the First Project Period, there were 61 ISCC user accounts (20 Investigators, 31 Lab Personnel, and 10 Administrative). New Investigators and Lab Personnel will be given accounts once appropriate confidentiality and disclosure forms are in place.

Given the rich information currently posted on the website, the current archival plan implements 4 tiers of security for archival, rather than crafting a brand new website. The 4 tiers consist of the following:

**Tier 1 – Ongoing:** Those currently in the ISCC group and refunded for the next round will have access to prior and new information (secure and public content).

**Tier 2 – New:** Those new to the ISCC will have access to new information (secure and public content), but not prior secure information.

**Tier 3 – First Project Period Only:** Those currently in the ISCC and not funded for the next round will have access to prior information (secure and public content) but not new secure information.

**Tier 4 – Public:** All publicly available information from the prior and new Consortia (restricted from secure content).

The following matrix provides a summary of what access is granted to the above roles, or definitions:

ISCC Roles and Access Matrix							
Role	Website Access to Private Resources?	Website Access Level	Sign Confidentiality, and Conflict of Interest/ Disclosure Forms?	Responsible Party?	Attend Fall SC Meeting?	Attend Spring SC Meeting?	Voting Steering Committee Member?
ISCC Contact PI (Research Projects and CC)	Yes	Tier 1 or 2	Yes, before each bi-annual SC meeting	Yes	Yes	Yes	Yes
ISCC Additional PI	Yes	Tier 1 or 2	Yes, before each bi-annual SC meeting	Yes	Yes	Yes	No
ISCC Co-Investigator	Yes	Tier 1 or 2	Yes, before each bi-annual SC meeting	Yes	With SC approval	With SC approval	No
NIDDK Representative	Yes	Tier 1	No	Yes	Yes	Yes	Yes
NIAID Representative	Yes	Tier 1	No	Yes	Yes	Yes	No
ISCC External Consultant 2014 – 2019	No	Tier 2	Yes, annually	Yes	No	Yes	No
ISCC Staff Member	TBD	Tier 1 or 2	Yes, annually	No	With SC approval	With SC approval	No
ISCC PI from 2009 – 2014	Yes	Tier 3	Yes, annually	Yes	From 9/09 - 8/14	From 9/09 - 8/14	No or From 9/09 to 8/14
ISCC Staff from 2009 – 2014	Restricted from Minutes	Tier 3 or 4	Yes, annually	No	From 9/09 - 8/14	From 9/09 - 8/14	No
ISCC External Consultant 2009 – 2014	No	Tier 4	From 9/09 - 8/14	No	No	From 9/09 – 8/14	No

Usage of the website by ISCC members includes the following expectations:

1. Entry and Documentation of New Antibodies. New antibodies that have been conceived of, or that are in the process of being generated, can be documented on the secure portion of the ISCC website. Information about an antibody described in the website must be made publicly accessible upon

publication. While it is the responsibility of the ISCC member to make necessary status updates, ISCC members may always request assistance of the ISCC Coordinating Center. The ISCC CC, acting on behalf of the NIDDK, may implement features in the ISCC website in order to encourage compliance.

Since the generation of new resources may not always happen according to schedule, ISCC members will be provided the opportunity to work with the Project Scientist and the CC to modify timeframes, to add new resources, or to remove resources resulting from changes in scientific direction or other circumstances. All changes in scientific deliverables will be visible to the ISCC NIDDK Representative who may at times ask for additional information.

2. Semi-Annual SC Meetings. The ISCC holds semi-annual SC meetings: one in Spring and one in Fall. In general, it is expected that all ISCC SC Members attend both the Spring and Fall meetings. ISCC External Consultants members are requested to attend the Spring SC meeting, but not the Fall SC meeting. Since attendance at these meetings is essential for the success of the collaborative efforts of the consortium, investigators who fail to attend may lose their good standing and some or all of the associated privileges. SC members will submit participation requests to the Coordinating Center prior to each in-person for any necessary collaborators to attend the Steering Committee Meeting (members above and beyond PIs and Additional PIs). Participation requests should be limited to those actively involved on ISCC work. Ancillary Study collaborators are also invited to attend one SC meeting per year. As host institution for an in-person SC meeting, the host may submit additional attendance requests for the meeting, including, but not limited to ISCC staff members, laboratory staff, and collaborators. The Coordinating Center will report those requests to the Executive Committee for review (considering total number attending and use of research funds for travel requests). Anyone attending an in-person SC meeting must submit confidentiality and conflict of interest disclosure forms prior to attending the meeting.
3. Meeting Presentations. All presentations given at the in-person SC meetings must be provided to the CC prior to the completion of the meeting. Outside speakers although not mandatory, will be encouraged to share their presentations for posting on the secure portion of the ISCC website as well, but cannot be mandatory. Adobe PDF files of all presentations made at the semi-annual meetings of the ISCC SC will be posted on the ISCC website where they can be viewed by other ISCC members. This information should be kept in strict confidence and only shared with other ISCC members who are engaged in these projects after reminding them of their obligations to also maintain confidentiality (see above).
4. Experimental Datasets. Like other ISCC Resources, all genomic and other high throughput datasets that describe RNA expression, proteins, transcription factor binding and epigenomic regulation must be shared with other ISCC PIs, Additional PIs, and Co-Investigators prior to publication (see above for Confidentiality information).