

Authorship Policy NIHR DAFNE Programme Grant Study

Authorship

Authorship credit should be based only on:

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

Conditions 1, 2, and 3 must all be met. Acquisition of funding, the collection of data, or general supervision of the research group, by themselves, do not justify authorship (International Committee of Medical Journal Editors. *Uniform requirements for manuscripts submitted to biomedical journals*. Updated 2008. PDF Available: www.icmje.org)

What process should be used to determine authorship inclusion and order?

A consensus decision-making process is most desirable. It is suggested that up-front written agreements be formulated, where possible and appropriate, so that all participants involved in a research project understand the authorship inclusions and order for publications emerging from the project. The order of authorship should, in general reflect the different amounts of intellectual and scholarly input. The person who has made the greatest intellectual and scholarly contribution should in principle be listed as the principal author using the discipline standard (either first or last named author) and others listed in order of relative contributions or alphabetically as agreed. Those participants whose contribution does not warrant being listed as an author should be accorded an acknowledgment.

Protocol for agreement on authorship:

1. All people involved in the NIHR DAFNE Study will be asked to sign up to the conditions set out in this protocol
2. The issue of authorship will be regularly reviewed throughout the course of the research (ie at each steering committee).
3. The DAFNE Research Group will convene a publication group that will approve a publication plan to include lead author and co-author per publication. This list can be amended as the study progresses once the Research Group are in agreement. Members of the publication group will generally communicate by email and undertake to respond promptly (within a week of receipt) to prevent undue delay of any submission.
4. Issues of authorship for each proposed paper will be negotiated and settled by an end-date agreed by the proposed authors and approved by the Publications Group. All people who meet the criteria for authorship should be included as authors of a publication. This may include but is not limited to researchers, postgraduate students, research trainees and volunteers.
5. The agreed authors will confirm and agree one lead and one supporting author to produce the first and subsequent drafts which will be shared in the first instance with the other authors. The authors will be those people who have planned and executed the research and intellectually engage with the development of the paper, in accord with the deadlines set by the lead authors (normally, a two-week turnaround). It is recognised that some individuals may not need to contribute to the writing of a manuscript although they

will be expected to have read and approve submission of an article they have contributed to. Such intellectual engagement is required by the internationally recognised guidelines for authorship (e.g. ICMJE). People who do not want to, or in practice cannot find the time to, engage in this way, will be fully and appropriately acknowledged. All people offered authorship should accept or decline in writing. A publisher's signatory document will satisfy this requirement if all authors are required to acknowledge their acceptance of authorship and the order of authors. Alternatively, an email or fax is a sufficient record where it is not practical to obtain an original signature.

6. If an author is deceased or cannot be contacted (based on all reasonable efforts to do so), the publication should proceed provided that all other authors have no grounds to believe that this person would have objected to being included as an author.
7. The person with the lead to draft the paper and see it through to publication will act as Guarantor, to manage communication with the publisher and maintain a record of agreed authorship, authorship order and agreements regarding acknowledgement. The Guarantor Author should ensure that all authors acknowledge their authorship in writing using either an Authorship Acknowledgement Form (Appendix) or a publisher's author assignment form completed as part of a publication submission. This role will be reassigned in the case of failure to progress. The supporting author working with the lead person will be offered the choice of positioning in the authorship list. All other authors who meet the authorship guidelines will be slotted into place according to their contributions, and where these are equal, alphabetically, generally this sorting into place will be done informally by the lead authors according to the contributions being made, although a more formal process, which can be used in cases of difficulty will depend on the extent to which they have contributed to the work. For example contributions in the following aspects of the manuscript
 - Intellectual input
 - Practical input (data capture)
 - Practical input (beyond data capture)
 - Specialist input from biostatisticians, health psychologists, educators, health economists etc. including design of the intervention or preparation of the curriculum.
 - Writing input
8. As there are many people involved in this study, the following phrase will be generally be appended to all lists of authors "*for the UK DAFNE Study Group*" unless it is the policy of a particular journal to exclude such a statement.
9. Near final draft manuscripts will be sent to the Publication Committee for wider circulation to the UK DAFNE study group and others for approval.
10. Any disputes that cannot be resolved should be referred to the Chief Investigator and Publication Committee and the DAFNE Research Group for arbitration. If a dispute cannot be resolved in this way, it will be devolved to the Host Institution to resolve.
11. The DAFNE NIHR Project Office will keep a record of all publications and progress and will submit publications to the NIHR according to the regulations in Statement 11.
12. All publications must acknowledge the funding from the NIHR Programme Grants for Applied Research funding scheme and must also contain a disclaimer indicating that the views and opinions expressed within it do not necessarily reflect those of DH/NIHR. Please also note that all publications and other outputs (whether in oral, written or other form) should

be submitted to the NIHR CCF at the same time as submission for publication, or at least 28 days before the date intended for publication/presentation, whichever is earlier.

NIHR supports the principle of Open Access to research as set out in its statement supporting UKPubMed Central:

<http://www.nihr.ac.uk/files/pdfs/OpenAccessPolicyStatement.pdf>

APPENDIX: Authorship Acknowledgment Form

Title of proposed publication:

Type of publication:
(e.g. book, journal article etc)

Name of journal/ book etc:

Proposed order of authors for this publication:

(add additional lines if necessary) Add names of all authors

- 1.
- 2.
- 3.
- 4.

Details of substantial intellectual contribution to this publication

(add additional lines if necessary)

Author 1

Author 2

Author 3

Author 4

I agree to the listed individuals as being appropriate authors and the order of authorship in the above publication. I also confirm that I have made the above substantial intellectual contributions and that I take public responsibility for it.

Author 1 Signed Date:

Name

Author 2 Signed Date:

Name

Author 3 Signed Date:

Name

Author 4 Signed Date:

Name