



FRIENDS RESEARCH INSTITUTE, INC.
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Subject: Authorship Guidelines
Division: Research
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AUTHORSHIP GUIDELINES FOR RESEARCH PUBLICATIONS

I. Purpose

The purpose of these internal guidelines is to promote a shared understanding of the principles of collaborative authorship. FRI endorses the uniform requirements for manuscripts established by the International Committee of Medical Journal Editors (ICMJE) and expands upon these requirements for internal purposes through its focus on principles of collaboration, authorship guidelines and disputes, practices to avoid, and storage. The principles and guidelines identified in this document pertain specifically to the development of manuscripts submitted for publication by investigators, research associates, and research assistants.

II. Principles of Collaboration

The Principal Investigator (PI) is the person who is ultimately responsible for the conduct of the research project and for dissemination of its findings. The PI may initiate project manuscripts or grant permission to another researcher, either an FRI scientist or a scientist employed outside of FRI, to lead in their development. All investigators involved in the conduct of a research study should contribute to and participate in the decisions that affect the scientific direction or quality of the research project. Research team members can and should learn from one another. Collaboration enhances the quality of research projects. In the ordinary course of events, senior investigators should act as mentors to less experienced investigators, including offering them opportunities to author or co-author manuscripts, posters, or paper presentations. In addition, all authors are strongly encouraged to seek advice and review of manuscript drafts from FRI researchers or outside scholars with expertise in the area addressed by the manuscript prior to journal submission.

III. Authorship Guidelines

The PI is responsible for determining order of authorship (and will generally be the first author of papers unless the PI decides otherwise). The PI is also responsible for settling disputes about the order of authorship. In writing manuscripts, the order of authorship should generally follow one of two approaches: 1) sequence-determines-credit (SDC); or 2) first-last-author emphasis (FLAE). Using the SDC approach, authorship order reflects relative contribution, such that the sequence of authors should reflect declining importance of their contribution. With respect to the FLAE approach, the PI should ordinarily be the first author or, alternatively, the last (or senior) author and all other authors should be listed in descending order of their importance. All investigators on a research project should be afforded the opportunity to be an author on the papers generated by the research team unless an individual declines the offer from the PI to participate in contributing to the paper or they do offer to contribute but in fact do not make a significant contribution, as outlined below.

Authorship Criteria

An author is generally considered to be someone who has made a significant intellectual contribution to a manuscript. Thus, with respect to authorship criteria, the following guidelines are recommended: 1) each author must be involved in either the conception/design of the work or the analysis and interpretation of the data, or both; 2) each author must be involved in drafting the article or revising it for critically important content; 3) each author must provide final approval of the version to be published; and 4) only those individuals who have made a significant contribution to a manuscript should be listed as authors. Though there may be exceptions, significant contributions usually can be identified as follows: a) formulation of research hypotheses;

b) research design; c) design and conduct of major data analyses; d) interpretation of findings; and e) contribution to writing a major section of the manuscript.

Research staff who make minor contributions should be acknowledged in the paper but not be given author status. Examples of contributions that are usually considered to be minor include: a) data collection and data entry; b) supervised data analysis; c) participant recruitment; and d) advising on statistical issues.

Each author should have participated sufficiently in the work represented by a published article to take public responsibility for the content. An author must be able to defend the content of a paper, including data collection, data analyses, and conclusions. All authors must be willing to concede publicly any errors of fact or interpretations discovered after publication of the article and state the reason for the error.

The first author of a manuscript has special responsibilities to co-authors including: 1) providing all co-authors with the opportunity to review all drafts prior to submission; 2) providing all co-authors with a copy of the submission letter and the submitted manuscript; and 3) sharing all further correspondence (and revisions) with co-authors.

Authorship Disputes

In cases of authorship disputes related to composition and/or the order of authors, initial attempts at resolution should occur between the authors themselves. However, if resolution between the authors cannot be achieved, the Executive Management Committee, comprised of the President, Medical Director, Vice President, and Chief Operating Officer will meet to review and determine an appropriate course of action and may make a final decision if necessary.

Practices to Avoid

During manuscript development, it is recommended that the following practices be avoided:

1. *Honorary authorship* - Authorship should not be extended to persons out of a sense of obligation or to obtain authorship on a separate paper in which one's contribution was minor or insignificant (quid pro quo);
2. *Assigning authorship to drafts of a paper* - In the process of developing a paper, the relative contributions of the collaborating investigators may change. Therefore, it is highly recommended that the order of authorship not be included on circulating drafts of a paper. Prior to submission of a paper, the PI has the responsibility to re-evaluate the order of authorship and make any necessary alterations. The PI will make these decisions in consultation with the other investigators, and will inform them of the order of authorship before a paper is submitted for peer review;
3. *Redundant and duplicate publications* - All manuscripts submitted for peer review should report distinct information and should not report the same data in multiple publications;
4. *Disclosure of a potential conflict of interest* - A conflict of interest may exist when an author is involved in activities that could bias the objective evaluation of the design and findings described in a paper. The most common conflict of interest arises from a financial stake in a product or service. All known or potential conflicts of interest must be disclosed in a letter accompanying papers submitted for peer reviews. Such letters must be signed by all collaborating investigators.

IV. Storage

For East Coast investigators, a copy of all correspondence sent to each journal to which a manuscript is submitted, including initial submissions and revisions, should be provided to the Assistant Grants Manager for storage on the FRI file server. Similarly, an electronic file of the final accepted manuscript should be submitted to the Assistant Grants Manager. It is the responsibility of the first author to meet the requirements for submitting any accepted publications to the Pub Med Central website in a timely fashion. The Assistant Grants Manager will assist with this process as needed. For West Coast investigators, the corresponding author (usually the first author) is responsible for storing all correspondence sent to each journal and maintaining a copy of the final accepted manuscript. The West Coast Senior Grants Manager will be responsible for meeting the requirements for submitting any accepted publications to the Pub Med Central website in a timely fashion.