

Guidelines for Authorship at the University of Miami School of Nursing and Health Studies (Adapted from Miller School of Medicine Guidelines)

PURPOSE:

To define the expectations and standards of the University of Miami School of Nursing and Health Studies (SONHS) as they relate to authorship.

SCOPE:

These guidelines cover authorship in books, scientific journals, conference proceedings, published abstracts, scientific posters, grant proposals, and other scholarly works by SONHS faculty, staff, and students .

BACKGROUND:

Authorship has important implications and carries substantial responsibilities. Authorship of books and journal articles is used in evaluation of researchers for jobs, promotions, grants/fellowships, and awards. In turn, authors are those who can be assigned responsibility both for the accuracy of published data and conclusions and for any ethical or scientific concerns that arise; they may also own or control data, tissues, reagents, interventions, and other scientific materials discussed in the published work. As commonly understood, an author is someone who is an originator of a novel written work. In scientific journals and other outlets for scholarly publication, an author is understood as someone who has made a substantial intellectual contribution to the published work.

GUIDELINES:

Fabrication, falsification, or plagiarism in scholarly works is prohibited, as are the practices known as “guest authorship”, “courtesy authorship”, and “ghost authorship” (or ghostwriting). Criteria for authorship can be summarized as follows:

Authorship should be based on 1) substantial contributions to conception and design of research, or to the gathering, analysis or interpretation of data; 2) drafting the article or reviewing it for intellectual content; and 3) approval of the final version to be published. Authors should meet all 3 criteria.

When a large group is involved, the members should identify the individuals who accept direct responsibility for the manuscript. Each of these individuals should meet the criteria for authorship defined above. When submitting a manuscript authored by a group, the lead/corresponding author should identify all individual authors as well as the group name, if applicable.

Acquisition/provision of funding, collection of data, or supervision of the research group does not, by itself, suffice for authorship. However, if a manuscript is based upon secondary analysis of data collected by a colleague or mentor, the principal investigator of the parent study should be given the opportunity to contribute to the manuscript, so as to qualify for authorship.

All persons named as authors should qualify for authorship, and all persons who qualify should be listed as authors.

Each author should have sufficient knowledge of the work to take public responsibility for at least those portions of the work in which he/she was involved. Where feasible, a summary of author contributions (e.g., conceived and designed research, performed research, analyzed results, wrote initial draft, edited manuscript) should be clearly and explicitly listed in the publication.

Those who contribute to the research in a published work but who do not meet the criteria for authorship should be listed in the Acknowledgments. Examples include persons who provided purely technical help, (such as performing experiments under direction, participant assessments, intervention delivery, and supervision), writing assistance (review/editing), or financial support. If assistance is provided with study design, data collection or analysis, or preparation of the manuscript, the authors should disclose the identities of the individuals who provided such assistance and the entity providing financial or material support for this assistance (if any) in the Acknowledgements. Individuals, such as students, fellows, community partners and

research assistants, who provide substantial technical support for the research should be given the opportunity to contribute intellectually as well, so as to qualify for authorship.

Persons and groups who have made substantial contributions to the work but whose contributions do not rise to the level of authorship may be listed under descriptions such as “participating investigators,” and their functions or contributions should be described—for example, “provided advice on study design”, “critically reviewed the initial proposal”, “provided technical assistance”, or “enrolled study patients.” Persons listed in the Acknowledgements should be asked for permission to be listed, since acknowledgement of contributions to an article may imply agreement with or endorsement of the article’s findings or conclusions.

Authorship decisions. Decisions about inclusion/exclusion of authors, and their listed order in the published work, should be made jointly by the authors. A person may refuse to be listed as an author despite having made substantial intellectual contributions; this however may not be done deliberately to subvert the prohibition on “ghost authorship” described below. Discussions about authorship and author order should occur as early in the research process as feasible, to reduce the probability of later disputes. The “lead” or corresponding author should lead authorship discussions. Each research group leader should ensure that all members of the research team understand the group’s authorship policies and practices. This information should ideally be conveyed at the time that a person joins the research group.

When disputes about author inclusion or author order arise, they should be handled by consensus among the group of authors, or, if necessary, by disinterested individuals chosen as arbiters by the group, such as the consult service offered by the University of Miami Ethics Programs. If the arbiters selected by the author group cannot provide a resolution acceptable to the group, the dispute should be brought to the Associate Dean for Research or other SONHS leadership for arbitration.

“Ghost Authorship”. The practice of “ghost authorship” or “ghostwriting”, in which a person who has made substantial intellectual contributions to the writing of a submitted article is not listed as an author, is prohibited. Persons who make substantial intellectual contributions to the writing of a manuscript should be allowed to approve the final version and thus to qualify for authorship.

“Guest Authorship”. The practice of “guest authorship” or “courtesy authorship”, in which a person is listed as an author despite failing to meet the requirements for authorship, is prohibited.

Authorship of grant proposals. As with all research-related work, fabrication, falsification, or plagiarism in the writing of grant proposals is prohibited. “Self-plagiarism”, in which investigators “re-cycle” their own writing (previously used in other documents) may be acceptable in grant proposals, but citation should be used when feasible. Material developed for a grant application may be used in a publication; however the usual authorship guidelines apply. Data, written material, or figures originated by or obtained from another party may not be used in a grant proposal without explicit written permission from the individuals who originated the work. Agreements about who will be Principal Investigator(s), Co-Investigators, unpaid collaborators/consultants, etc, and their (paid and unpaid) efforts should be joint decisions of the investigators involved. Discussions about these issues should occur as early as possible in the grant writing process. Submittal of the same or substantially similar grant proposals to more than one funding agency is permissible, as long as 1) this is permitted by each of the involved funding agencies, 2) this is made clear in any “Other Support” sections of the relevant grant proposals, and 3) agencies are notified of any scientific/financial overlap in grant funding by the time of award(s). In the case of “limited submissions”, where there are limits on the number of proposals that may be submitted by the University or SONHS, investigators must make clear at the time of the competition whether they plan to submit a substantially similar grant to a different agency.

Students as First Authors. Students publishing manuscripts that are principally derived from a course assignment, doctoral dissertation or capstone should be the first author. Faculty members and others must meet the same criteria for authorship as stated above. Merely reviewing and editing does not qualify for authorship. Further, faculty members should not assume that they will be invited to be an author on their students’ manuscripts.

Simultaneous submission of manuscripts. It is inappropriate to submit the same or a substantially similar manuscript to more than one outlet at the same time, unless this practice is explicitly permitted or is disclosed and agreed to by each outlet. Editors generally assume that they are being given an exclusive opportunity to review and publish, which is necessary to avoid the possibility that they go to the trouble and expense of reviewing an article that is then withdrawn and published elsewhere.

Redundant publication. Various pressures have been known to lead some scholars to attempt to publish the same or a substantially similar document more than once – in different journals and/or under different titles. If this is done with the intent to inflate a scholar's curriculum vitae (CV), or otherwise deceive supervisors, reviewers, or readers, it is inappropriate, constitutes research misconduct, and may also constitute a copyright violation. If a journal or book editor wants to include a closely related version of a previously published document, this may be permissible if it is adequately disclosed to readers and documented as such on the author's CV.

For the most part, abstract/poster/oral presentations will not rule out future publication of material presented. However, some conference presentations may be published in "proceedings" of that conference, in paper form or online, which some journals may view as a publication. Authors should always review conference policies regarding publication of presentations and/or posters prior to submitting abstracts for conferences.

It is the responsibility of the authors to know the requirements and standards of the journal to which they are submitting, as they differ by journal and discipline. Authors should make a journal editor aware, as part of the submission process, of any prior presentation that has occurred.

Note: These guidelines, in part, closely adhere to principles developed by the International Committee of Medical Journal Editors. More information can be found in: Uniform Requirements for Manuscripts Submitted to Biomedical Journals: Ethical Considerations in the Conduct and Reporting of Research: Authorship and Contributorship; http://www.icmje.org/ethical_1author.html

Revised 12/20/2012