

GRADUATE GROUP AUTHORSHIP GUIDELINES¹

This set of guidelines were devised in accordance with the Graduate Council of Faculties' *Policy on Fairness of Authorship Credit in Collaborative Faculty-Student Publications*. Most journals in which School of Nursing faculty and students would publish are represented in the International Committee of Medical Journal Editors (ICMJE). This committee (formerly known as the Vancouver Group) has met annually since 1978 to develop and revise its *Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals*² form the basis of section 1 below, “Qualifications for Authorship”. Issues of authorship in publications by School of Nursing PhD students and faculty should be determined as follows:

1. **Qualifications for Authorship**^{2,3}

All persons designated as authors should qualify for authorship.

- Each author should have participated sufficiently in the work to take public responsibility for the content for (a) part of the content or (b) the whole of the content
- Authors should meet ALL four of the following criteria:
 1. Substantial contributions to (a) conception or design; or (b) acquisition, analysis or interpretation of data; AND
 2. Participate in (a) drafting the manuscript; or (b) critical revision of the manuscript for intellectual content; AND
 3. Provide final approval of the version to be published; AND
 4. Willing to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.
- Participation solely in the acquisition of funding or the collection of data does not justify authorship.
- General supervision of the research group is not sufficient for authorship.
- Appropriate credit for the contributions of other individuals to the work described in the publication should be made as an acknowledgment (with their permission).
- Any part of an article critical to its main conclusions must be the responsibility of at least one author. If that author is a student, then the faculty mentor shares the responsibility.
- The lead author(s):
 - The lead author(s) is that person(s) who assumes overall responsibility for the publication including: publication preparation, data review and editing, authorship assignment, certification of author participation and responsibility, and submission/communication of the publication.
 - The lead author(s) must have contributed substantially to the overall effort, and will typically have conceived of the project outline, assembled the study team and, where relevant, supervised the conduct of the study.
 - The lead author(s) is responsible for the integrity and originality of the publication as a whole. This responsibility includes: ensuring that reasonable care and effort have been taken to determine that all data are complete, accurate, reasonably interpreted and honestly presented; ensuring that appropriate credit is given for any quoted or paraphrased material;

¹ Congruent with other University of Pennsylvania authorship policies, e.g., Biomedical Graduate Studies.

² Based on International Committee of Medical Journal Editors. (2013). *Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals*. <http://www.icmje.org/recommendations/>

³ Based on *JAMA* Authorship Responsibility, Conflicts of Interest and Funding, and Copyright Transfer/Publishing Agreement. Accessed on March 19, 2015 - Accessed at: http://jama.jamanetwork.com/DocumentLibrary/InstructionsForAuthors/JAMA/auinst_crit.pdf.

- documenting all components of support and related sponsors of the research project; and identifying and communicating any potential conflicts of interest.
- The lead author is responsible for ensuring that all of the co-authors have had an opportunity to review the final version of the publication and have consented for inclusion in authorship.
- The co-author(s):
 - Each co-author must meet the requirements for authorship noted above in section 1 in full.
 - Each co-author must take responsibility in full for the appropriate portions of the content related to their specific contribution including the integrity of any applicable research.

2. The Order of Authors⁴

- The first author is that person who contributed most to the “work”, including writing of the manuscript. However, the final decision should be determined with the “owner” of the data.⁵
- The sequence of author listing is determined by the relative contributions to the work. In the instance that equal credit is due, this should be footnoted (by asterisk) and authors should generally be listed alphabetically (you may wish to note this policy on your CV).
- Decisions about authors and the order in which their names appear should be discussed as early as possible in the writing (and could be subject to change or renegotiated if contributions vary during the actual writing).
- Decisions about authors, and the order in which their names appear, should be made collaboratively by the first author and/or the senior author if the first author is not the senior author.

****NOTE**** For articles developed as part of a student’s “Three Article Dissertation”, the student must be the primary author of the papers, with content based on scholarship or research conducted primarily by the student. The discussion of additional authors and author order for each article should be discussed with the supervising member(s) of the dissertation committee. See the [School of Nursing Doctoral Student Handbook](#) (page 31, requirement #4).

3. Other General Rules

- The data presented in the publication must preserve full protection of patients' rights to privacy at their institution(s) as specified in Informed Consent and IRB approval documents.
- The data presented in the publication must be generated under the approval of, and in full compliance with, Animal and Human Subject codes at the authors' institution(s).
- All authors are responsible for recognizing and disclosing financial and other conflicts of interest that might bias their work.
- Decisions of the suitability of a manuscript for a particular journal should be made by the lead author and the senior author.
- All items presented in the publication must be original (inclusive of other submitted publications), unless otherwise specifically stated in the publication.
- Secondary publication of manuscripts, either in full or in part, in review form, in another language and/or in another country, is justifiable provided that the authors have received approval from the editors of both journals, that the secondary manuscript includes a footnote to this effect, and that the secondary version faithfully reflects the data and interpretations of the primary version.

⁴ Based on editorial by Riesenberg, D., & Lundberg, G. D. (1990). The order of authorship: who's on first? *Journal of the American Medical Association*, 264(14), 1857.

⁵ This is to be considered when the data are not in the public domain.

- In the instance of review articles, which may include previously published and/or unpublished data, appropriate consent and acknowledgements must be made; however, generation of such data does not necessarily warrant authorship (for example, if a faculty member writes a review based on a student's published work and acknowledges the student's contributions, the student does not necessarily have the right to co-authorship).

4. When Conflicts Arise

It is recognized that even when the above guidelines are followed, conflicts of opinion may arise. The process for handling disagreements regarding authorship between students and faculty members is as follows:

Within the School of Nursing (SON)

- The student should first raise the issue with the faculty member.⁶
- In those instances in which the discussion with the faculty member does not resolve a grievance to the student's satisfaction, the issue should be raised with the student's advisor, followed by the graduate group chair if the issue has not been resolved.⁶
- In the event that the issue cannot be resolved at the level of the graduate group the Associate Dean for Academic Programs will convene a committee of up to two standing faculty members chosen in consultation with the faculty member and two members chosen in consultation with the graduate student, who can be members of the SON graduate group students or faculty, for arbitration to resolve the dispute in a timely manner. Their decision will be final and binding.

Where both authors are in the University of Pennsylvania

- The authors should first seek mediation with the relevant graduate group and department chairs of the student's and faculty's home schools.
- If mediation with the graduate group and department chairs fails to resolve matters, the appropriate Associate/Vice Deans for each school should be consulted. If necessary, they can convene a committee of up to two standing faculty members chosen in consultation with the faculty member and two members chosen in consultation with the graduate student, who can be members of the SON graduate group students or faculty, for arbitration to resolve the dispute in a timely manner. Their decision will be final and binding.

Where one or more authors are outside the University of Pennsylvania the Vice-Provost for Education should be consulted.

Failure to adhere to these guidelines may represent a violation of University policies and consequently may be subject to judicial proceedings. If the complaint represents a violation of the [University Code of Academic Integrity](#), the investigation and adjudication of the complaint will be conducted in accordance with *PENNBOOK*.

If the complaint alleges research misconduct by a member of the faculty, the investigation and adjudication of the complaint will be conducted in accordance with the University's [Procedures Regarding Misconduct in Research](#), provided in the [University of Pennsylvania Faculty Handbook](#).

⁶From the University of Pennsylvania *PENNBOOK* Policies [Fairness of Authorship Credit in Collaborative Faculty-Student Publications for PhD Students](https://provost.upenn.edu/policies/pennbook/2013/02/15/fairness-of-authorship-credit-in-collaborative-faculty-student-publications-for-phd-am-and-ms-students). <https://provost.upenn.edu/policies/pennbook/2013/02/15/fairness-of-authorship-credit-in-collaborative-faculty-student-publications-for-phd-am-and-ms-students>