

<b>SUBJECT:</b>	Authorship Guidelines
<b>RESPONSIBLE UNIT:</b> CNRSI	
<b>RECOMMENDED BY RESEARCH COMMITTEE:</b>	12/15/06
<b>APPROVED BY DEANS:</b>	02/21/07
<b>LAST REVISED/REVIEWED:</b>	08/16/08

**Policy:**

This document is designed to provide faculty and students in the College of Nursing with guidelines to assist in determining authorship credit. These guidelines are based on those of a variety of organizations, including CSE, Toronto, American Psychological Association and Michigan State University authorship guidelines (<https://www.msu.edu/~vprgs/authorshipguidelines.htm>). If students or post-doctoral fellows are involved in the manuscript, the faculty are expected to act as mentors for the student as outlined in the Research Mentoring Task Force Report (<http://grad.msu.edu/staff/mentoring.htm>). The intent is to outline criteria for authorship credit and to identify a process to be used for the negotiation of authorship credit. While the Research Committee developed these guidelines for use with researchers, they are to be used for all joint authored manuscripts.

It is expected that faculty and students planning to write a manuscript will discuss authorship on the manuscript at the outset of the planning. A written agreement is strongly recommended according to the criteria outlined below. A sample written agreement is attached (see Authorship Responsibility Form).

Changes in contribution over the time of publication process, such as when revisions are required, are expected to result in a renegotiation of authorship credit and the formulation of a new agreement. Cooperation, collaboration and good communication are expected of all faculty and students and are essential to the smooth and equitable allocation of authorship credit.

**I. Criteria for Being Listed as an Author**

- A. To be listed as an author on a manuscript an individual must make a significant contribution to the manuscript, regardless of the academic rank or student/fellow status of the individual involved. Examples of a significant contribution include the following:
  - Formulation of the problem and hypothesis
  - Conceptualization, design
  - Organization and conduct of statistical analysis
  - Interpretation of results
  - Writing a portion of the paper
  - Principal investigator of grant that generated data being used in manuscript
  
- B. The order in which the authors are listed should reflect each individual's level of contribution to the manuscript preparation (see tool in Attachment 1 if assistance is needed to determine level of contribution)
  
- C. Individuals who provide minor and general support may be acknowledged in a footnote. Paid staff are rarely acknowledged. Journal policies may prohibit acknowledgement of those offering minor support for a manuscript. Examples of minor support include the following:
  - Technical support
  - Data collection and entry
  - Recruitment of study participants
  - Financial and material assistance
  - Advising regarding statistical analysis

- Proofreading/technical editing
- D. The general distinction between “significant contributions” and “minor or general support” is in terms of the quantity and scholarly contribution to the work.
- E. If a manuscript uses data obtained during the course of a research grant, sources of funding must be acknowledged in every publication, and should include the following information:
- Funding agency (ies) supporting the manuscript preparation and/or research upon which the manuscript is based.
  - Support for data collection, analysis, manuscript preparation, and any other aspect of the project.
  - Grant title and number (as appropriate to journal guidelines).
  - Principal investigator
  - Period of funding (as appropriate to journal guidelines).
- F. Discussions of manuscripts that result from data or ideas generated from a funded research study, should involve the principal investigator in the initial planning. The principal investigator is responsible to the funding agency and is charged with following their guidelines for publication. The principle investigator is also to read and approve the final manuscript before it is submitted for publication. Authorship credit for the principle investigator should follow the same guidelines as indicated above.

## II. Formal Authorship Agreement

For all jointly authored manuscripts, the contributing members should establish a formal agreement for writing contributions, starting at the inception phase of the project. If the involvement of the authors changes, such as if a faculty or student accepts another position and is not able to meet his/her obligations on the manuscript, or when revisions to the manuscript are extensive, requiring a difference in the distribution of effort among the authors, the agreement is expected to be renegotiated and may or may not involve an alteration in the order of authorship. Revised agreements must follow the same guidelines as below and when agreed to by all authors will replace the original agreement.

- A. The agreement should include the following:
- Identification of the individual who will have primary responsibility for manuscript preparation
  - If first author is a graduate student who is writing a first manuscript, it is suggested that a mentor be designated to guide him/her through the manuscript preparation process. The mentor should be identified in the agreement.
  - Specific tasks to be completed
  - Each individual’s responsibility for tasks
  - Timelines for completion of tasks
- B. By “formal agreement,” it is meant that the first author should write a summary of the agreements among authors and above contributions to a proposed manuscript. The written documentation should be clear and specific regarding authorship order and contributions. An email summary sent to all authors, or documentation in research team meeting minutes revised by all proposed authors is usually sufficient for this purpose. All authors must confirm their agreement with the formal agreement either in the form of an e-mail reply or a written signed agreement. The first author should save all documentation of the agreed-to authorship and contributions either in e-mail form or written signed agreement.
- C. Any of the authors who are preparing a manuscript may ask for a renegotiation of the authorship order and/or manuscript contributions at any time. The person(s) who are proposing a change should provide specific rationale to the other authors for the requested change(s). For a change to be completed, all authors must agree to any adjustments to authorship and/or contributions that are

proposed. Agreements for revised authorship and/or contributions should be documented in writing, with confirmation by all authors.

### **III. Authorship responsibilities and accountability**

- A. First Author. The first author takes primary responsibility for manuscript preparation and makes a substantial contribution to the project from the beginning to end. A graduate student may be designated as first author if he/she fulfills the associated responsibilities. Responsibilities include the following:
- Consult with the principle investigator (including if the principle investigator is a doctoral student or post-doctoral fellow) regarding the intent of the manuscript before writing begins.
  - Monitor and maintain established timelines for completion of the manuscript, informing all involved parties in a timely fashion if there may be needed adjustments to the timelines, substantive content of the manuscript, etc.
  - Decide to which journal the manuscript will be submitted, incorporating the suggestions of other authors as relevant
  - Serve as the primary communicator with the journal editor as appropriate
  - Prepare the manuscript according to the author guidelines of the chosen journal
  - Complete the first draft of the manuscript, including order of authors, and circulate it to all contributing authors. This includes writing the first full draft of the manuscript, as well as incorporating contributing authors' portions into the draft
  - Revise all drafts of the manuscript based on feedback and circulate to all contributing authors
  - Circulate the final draft of the manuscript to all authors and receive their approval before submitting to journal.
  - Act as the corresponding author as appropriate
  - Inform contributing authors of decision of the journal regarding publication status
  - If accepted for publication, complete a plan for revisions and coordinate them so revisions are completed in a timely manner. Resubmit with assistance of other authors as needed.
- B. All Authors. The following are responsibilities of all authors:
- Accept responsibility for all of the contents of the manuscript
  - Make a significant contribution for the manuscript (See Section IA. Criteria for Being Listed as an Author)
  - Meet established deadlines and notify first author if unable to do so provide feedback on all drafts of the manuscript
  - Read the final draft of the manuscript prior to submission
  - Sign authorship disclosure statements
  - Sign copyright agreement
- C. Advisor for student or fellow. Advisors who make significant contributions (past or present) to a student or fellow's manuscript should be considered for authorship versus acknowledgement per the above guidelines. The same criteria differentiating significant versus minor support contributions, as used for other types of manuscripts apply in this instance as well. This includes significant contributions of the advisor to manuscripts originally submitted as course papers, which the student is revising for submission for publication and which focus substantively on the same conceptual content as the original course paper. The student/fellow, similar to other authors, is fully responsible for knowing and observing all relevant guidelines included in this documents, as well as applicable University policies.

### **IV. Resolving Conflicts**

- A. Conflicts may arise for a variety of reasons such as a disagreement over what constitutes major and minor contributions, unwillingness or inability of authors to meet their obligations as outlined in the original agreement, manuscript revisions that impact authors differentially thereby changing the relative contribution of authors to the manuscript, and the like. It is expected that the outcome will be a renegotiation of the original agreement and it replaces the original agreement, or that the people involved will agree that no change is needed.
- B. The first step in resolving a conflict is to speak to the first author of the manuscript and identify your concern.
- C. The next step is to have all parties involved meet to discuss and resolve the issue.
- D. Senior faculty who are experienced in joint authored papers may be consulted to assist in interpreting guidelines and make recommendations for resolution.
- E. If the above steps do not result in an agreement being reached, the Associate Dean for Research & Doctoral Program or Associate Deans if other schools are involved) is (are) asked to meet the authors to interpret the guidelines and make suggestions for resolution. The Dean of the College may also be consulted to negotiate a dispute.
- F. Michigan State University has an ombudsman in the Graduate School who can assist with conflicts involving students. For conflicts involving intellectual property, Michigan State University's Office of Intellectual Property should be consulted. If there is concern regarding research integrity, the Michigan State University Office of Research Integrity should be contacted.

Source Websites:

- URLS
- Toronto
- CSE
- APA
- MSU
- CON
- JAMA

**Procedure:**

<b>Responsible party</b>	<b>Task</b>
Faculty member(s) and/or student(s)	Meet to plan manuscript, assign responsibilities, determine level of contribution (see Attachment 1 for tool to assist with determining level of contribution), and decide on order of authors.  Complete formal authorship agreement (see Attachment 2 for sample authorship agreement)  Draft and submit manuscript
<b>If revisions are required,</b> Faculty member(s) and/or student(s)	Meet to discuss revisions, assign responsibilities, determine level of contribution and consider whether authorship order should be adjusted.  If authorship order requires adjustment, complete a new formal authorship agreement.  Revise and submit manuscript.

Attachment 1

**Authorship Responsibility Form**

**Manuscript Title:** \_\_\_\_\_

**Journal Manuscript will be submitted to:** \_\_\_\_\_

Each author should indicate general and specific contributions to the manuscript preparation by checking the appropriate boxes. Authors should be listed in order to be printed in publication:

**First & Primary Author:** \_\_\_\_\_

I am primary author and will give final approval of the manuscript.

I will participate in the work and take responsibility for the [whole partial (circle one)] content.

I will have substantial contribution to the intellectual content of the paper as described below:

Conception and design

Acquisition of data

Analysis and interpretation of data

Drafting of the manuscript

Critical revision of the manuscript for important intellectual property

Statistical analysis

Obtaining funding

Administrative, technical, or material support

Supervision

Other (please list): \_\_\_\_\_

**Second Author:** \_\_\_\_\_ Worksite if other than MSU: \_\_\_\_\_

I will give final approval of the manuscript.

I will participate in the work and take responsibility for the [whole partial (circle one)] content.

I will have substantial contribution to the intellectual content of the paper as describe below:

Conception and design

Acquisition of data

Analysis and interpretation of data

Drafting of the manuscript

Critical revision of the manuscript for important intellectual property

Statistical analysis

Obtaining funding

Administrative, technical, or material support

Supervision

Other: \_\_\_\_\_

**Third Author:** \_\_\_\_\_ Worksite if other than MSU: \_\_\_\_\_

I will give final approval of the manuscript.

I will participate in the work and take responsibility for the [whole partial (circle one)] content.

I will have substantial contribution to the intellectual content of the paper as describe below:

Conception and design

Acquisition of data

Analysis and interpretation of data

Drafting of the manuscript

Critical revision of the manuscript for important intellectual property

Statistical analysis

Obtaining funding

Administrative, technical, or material support  
Supervision  
Other: \_\_\_\_\_

**Fourth Author:** \_\_\_\_\_ Worksite if other than MSU: \_\_\_\_\_

I will give final approval of the manuscript.  
I will participate in the work and take responsibility for the [whole partial (circle one)] content.  
I will have substantial contribution to the intellectual content of the paper as describe below:  
Conception and design  
Acquisition of data  
Analysis and interpretation of data  
Drafting of the manuscript  
Critical revision of the manuscript for important intellectual property  
Statistical analysis  
Obtaining funding  
Administrative, technical, or material support  
Supervision  
Other: \_\_\_\_\_

**Fifth Author:** \_\_\_\_\_ Worksite if other than MSU: \_\_\_\_\_

I will give final approval of the manuscript.  
I will participate in the work and take responsibility for the [whole partial (circle one)] content.  
I will have substantial contribution to the intellectual content of the paper as describe below:  
Conception and design  
Acquisition of data  
Analysis and interpretation of data  
Drafting of the manuscript  
Critical revision of the manuscript for important intellectual property  
Statistical analysis  
Obtaining funding  
Administrative, technical, or material support  
Supervision  
Other: \_\_\_\_\_

If there are more than five authors please provide additional names and duties on a second form in the order to be printed in publication; with author signatures.

**Signatures:**

First Author: \_\_\_\_\_ Date: \_\_\_\_\_  
Second Author: \_\_\_\_\_ Date: \_\_\_\_\_  
Third Author: \_\_\_\_\_ Date: \_\_\_\_\_  
Fourth Author: \_\_\_\_\_ Date: \_\_\_\_\_  
Fifth Author: \_\_\_\_\_ Date: \_\_\_\_\_

The First Author will maintain the original copy of this agreement on file and provide a copy to the MSU CON Research Center.