



Publication policy and Procedure for the DECIDE project

POLICY

Part 1: Principles of authorship

The following principles of authorship have been derived from editorial publications from leading journals (see references at the end of this document) and are in accordance with the rules of the International Committee of Medical Journal Editors.

Group authorship

Group authorship will be appropriate for some publications, such as main reports. This will apply when the intellectual work underpinning a publication 'has been carried out by a group, and no one person can be identified as having substantially greater responsibility for its contents than others'.¹ In such cases the authorship will be presented by the collective title - The DECIDE Consortium - and the article should carry a footnote of the names of the people (and their institutions) represented by the corporate title. In some situations one or more authors may take responsibility for drafting the paper but all group members qualify as members; in this case, this should be recognised using the by-line 'Jane Doe *and* the DECIDE Consortium'.² Group authorship may also be appropriate for publications where one or more authors take responsibility for a group, in which case the other group members are not authors but may be listed in the Acknowledgement (the by-line would read 'Jane Doe *for* the DECIDE Consortium').²

Individual authorship

Other papers, such as describing satellite studies, will have individual authorship. In order to qualify for authorship an individual must fulfil the following criteria³:

1. each author should have participated sufficiently in the work represented by the article to take public responsibility for the content.
2. participation must include three steps:
 - conception or design of the work represented by the article OR acquisition of data OR analysis and interpretation of the data; AND
 - drafting the article or revising it for critically important content; AND

- final approval of the version to be published.

Participation solely in the collection of data is insufficient by itself and those persons who have contributed intellectually to the article but whose contributors do not justify authorship may be acknowledged and their contribution described.¹

Determining authorship

Tentative decisions on authorship should be made as soon as possible, and put in writing.¹ Any difficulties or disagreements will be resolved by the Project Management Group.

Part 2: Authorship for publication arising from DECIDE

Operationalising authorship rules

We envisage two types of report (including conference presentations) arising from DECIDE and its associated projects:

1. Reports of work arising from the main project

If all grant-holders and research staff fulfil authorship rules, group authorship should be used under the collective title of 'The DECIDE Consortium'; if one or more individuals have made a significant contribution above and beyond other group members but where all group members fulfil authorship rules, authorship will be attributed to 'Jane Doe and the DECIDE Consortium'.

2. Reports of satellite studies and subsidiary projects

Authorship should be guided by the authorship rules outlined in '*Part 1: Principles of authorship*' above. Grantholders and research staff not directly associated with the specific project should only be included as authors if they fulfil the authorship rules. Grant-holders and research staff who have made a contribution to the project but do not fulfil authorship rules should be recognised in the Acknowledgement section. The role of the DECIDE Consortium in the development and support of the project should be recognised in the Acknowledgement section.

For reports which specifically arise from DECIDE but where all members do not fulfil authorship rules (for example, specialist sub-study publications), authorship should be attributed to 'Jane Doe for the DECIDE Consortium'. If individual members of the group are dissatisfied by a decision, they can appeal to the Project Management Group.

Quality assurance

Ensuring quality assurance is essential to the good name of DECIDE. However, we do not want to impose a burdensome process on DECIDE members with regard to publishing articles and presenting at conferences and meetings; timely dissemination is also important. It will not, therefore, be necessary for DECIDE members to have publications and abstracts formally approved by the Project Management Group but submitted publications should be sent to the Coordinator.

Authors are encouraged to share drafts and articles with their DECIDE colleagues for comment and feedback, or simply as a way of sharing their work. Published articles and abstracts will be posted on the DECIDE website as a news item and so that they can be recorded and reported to the EC.

References

1. Huth EJ (1986). Guidelines on authorship of medical papers. *Annals of Internal Medicine*, **104**, 269-274.
2. Glass RM (1992). New information for authors and readers. Group authorship, acknowledgements and rejected manuscripts. *Journal of the American Medical Association*, **268**, 99.
3. Uniform Requirements for Manuscripts Submitted to Biomedical Journals: Writing and Editing for Biomedical Publication (<http://www.icmje.org/#author>)
4. DECIDE Grant Agreement Number: 258583

Procedure

Prior to submitting a paper to a journal or conference, the author must

1. Obtain the necessary permission from the beneficiary owning the foreground (i.e. intellectual property generated as a result of this project), even if the beneficiary is the employer of the author.
2. Discuss the intention of the paper with the other beneficiaries and, if any of the foreground and/or background (i.e. intellectual property owned by a beneficiary before the project started) to be published belongs to another beneficiary, seek their prior approval. **No background or foreground may be disseminated without the approval of its owner.** Note: Although each beneficiary must disseminate the foreground it owns, several beneficiaries may agree to disseminate jointly, e.g. by co-authoring a scientific publication.
3. Ensure the paper contains the following statement to acknowledge that the contents were generated with the assistance of financial support from the European Community (Note: The exact wording must be used):

This project has received funding from the European Union's Seventh Framework Programme for research, technological development and demonstration under grant agreement n° 258583

Please also see the information on the use of the EU emblem and statement for EU programmes at http://ec.europa.eu/research/fp7/index_en.cfm?pg=logos



EU emblem

4. Circulate the draft paper to all co-authors, and the Project Coordinator (Professor Shaun Treweek) for review and approval. Approval will automatically be assumed unless you receive any feedback within 10 days of circulating your paper.
5. If the paper is being submitted to a journal, the author must
 - a. Make their best efforts to ensure that an electronic copy becomes freely and electronically available to anyone through an institutional or subject-based repository
 - i. Immediately if the paper is published "open access", i.e. if an electronic version is also available free of charge via the publisher
 - ii. Within 6 months of publication.

Making "best efforts" implies taking the following actions:

- i. Determining the journal policy on open access by seeking information on the publishing models and copyright/licensing policies of the journal(s) to which the author plans to submit. Useful information resources include:

- RoMEO - www.sherpa.ac.uk/romeo/index.html (Publisher's copyright & archiving policies)
 - JULIET - www.sherpa.ac.uk/juliet/index.php (Research funders archiving mandates and guidelines)
 - Directory of Open Access Journals (www.doaj.org)
- ii. Requesting and reading carefully the publishing agreement which publishers expect authors to sign at the beginning of the submission/publication process. This agreement sets out the rights and obligations of both the author and the publisher. Authors will see from this document if they retain the right to self archive their work or not.
- iii. If the publishers' policy conflicts with the EC grant agreement, authors should inform the publisher of the European Commission's special clause on open access and request an exception to the publishers' policy to allow the author to comply with this clause. Options include:
- License to publish: authors retain their copyrights while granting publishers a sole licence for certain copyright related acts which have an economic or commercial objective. By keeping their copyrights, authors can retain certain rights for various scholarly purposes including self-archiving.
 - Amending the publishing agreement through the introduction of a clause or an addendum stipulating that while assigning their copyrights authors retain certain rights (e.g. the right to self-archive their work in an institutional or subject based repository immediately upon publication).
- Models for these options can be found at the following website:
http://ec.europa.eu/research/science-society/open_access
- iv. If, despite best efforts, compliance is not possible, the author should:
- Consider submitting to another journal
 - Contact the Commission to receive help and advice on the specific case via the email address: rtd-open-access@ec.europa.eu
- v. Finally, in the case of non-compliance, beneficiaries must be able to substantiate how they have complied with the "best effort" requirement. For example, by submitting a letter from the publisher to the Commission stating refusal to allow compliance with the FP7 provisions and the reasons for this refusal.
- vi. Authors who have already signed a publishing agreement that does not grant them the right to self-archive can request an authorisation to deposit their articles in an open repository via a letter signed by the publisher to be attached to the existing publishing agreement.
- b. Inform the publisher of the additional obligations resulting from the EC grant agreement, in particular the statement of financial support (see 3) and the provision of a copy of the final manuscript to the Commission. A contractual provision could be inserted in the publication agreement to take this into account, e.g.
- "The publisher agrees that the author retains the right to provide the European Commission for publication purposes with an electronic copy of the published version or the final manuscript accepted for publication."*
6. Complete a Pre-publication Intellectual Property Notification Form and send a copy to the CPO (decide@dundee.ac.uk) along with the final version of the paper being submitted. The form indicates

- a. Whether the contents of the paper contain any intellectual property capable of industrial or commercial application, and if so, whether the author will take steps to protect it.
- b. The embargo period before open access is available for journal papers.

As soon as the paper has been published, the author must

1. Send details to the CPO (decide@dundee.ac.uk). The CPO will put a reference to the published paper on the Project WEB Site and inform the European Commission.
2. Deposit an electronic copy of the published version or the final manuscript accepted for publication, in an institutional or subject-based repository.

Useful listings of repositories are:

- OpenDOAR - worldwide Directory of Open Access Repositories
<http://www.opendoar.org/>
- Registry of Open Access Repositories – ROAR <http://roar.eprints.org/index.php>
- OpenAire – Open Access Infrastructure for Research in Europe
<http://www.openaire.eu/>