



POLICY/GUIDELINE TITLE: Authorship on Scientific and Scholarly Publications	SYSTEM POLICY AND PROCEDURE MANUAL
POLICY #: 100.057	CATEGORY: Administration
System Approval Date: 12/10/2020	Effective Date: 1/15/2015
Site Implementation Date: 02/12/2021	Last Reviewed/Approved: 04/2018
Prepared by: Research Administration	Notations: Supersedes GR098

GENERAL STATEMENT of PURPOSE

The purpose of this policy is to establish the minimum requirements of authorship in scientific and scholarly publications.

POLICY

All individuals are required to meet the criteria of authorship for scientific and scholarly publications outlined herein and in accordance to the publishing journal’s guidelines. All individuals who contributed to the project and who meet the criteria for authorship must be appropriately included as an author and must list the appropriate institutional affiliation and funding source when submitting scholarly work. Ghostwriting, guest authorships, and gift authorship are prohibited.

SCOPE

This policy applies to all Northwell Health employees, as well as medical staff, volunteers, students, trainees, physician office staff, contractors, trustees and other persons performing work for or at Northwell Health; faculty and students of the Donald and Barbara Zucker School of Medicine at Hofstra/Northwell or the Hofstra Northwell School of Graduate Nursing and Physician Assistant Studies conducting research on behalf of the Zucker School of Medicine on or at any Northwell Health facility.

DEFINITIONS

Acknowledgments include individuals who may have made some contribution to a publication, *but who do not meet the criteria for authorship*, such as staff, editorial assistants, medical writers, or other individuals who provide a valuable contribution to the writing and editing of publications. An administrative relationship, acquisition of funding, collection of data, or general supervision of a research group alone does not constitute acknowledgements.

Author is an individual who has made substantial intellectual contributions to a scientific investigation. There can be more than one author per publication, also referred to as **co-authors**.

Fabrication is making up data or results and recording or reporting them.

Falsification is manipulating research materials, equipment or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

First author is the person who did the majority of the work for the research and may have written the first draft of the publication.

Guest (honorary, courtesy, or prestige) authorship is defined as granting authorship out of appreciation or respect for an individual, or in the belief that expert standing of the guest will increase the likelihood of publication, credibility, or status of the work.

Gift authorship is credit, offered from a sense of obligation, tribute, or dependence, within the context of an anticipated benefit, to an individual who has not contributed to the work.

Ghost authorship/Ghostwriting is the failure to identify as an author, someone who made substantial contributions to the research or writing of a publication that merited authorship, or an unnamed individual who participated in writing the publication. Ghost authorship may range from authors for hire with the understanding that they will not be credited, to major contributors not named as an author.

The author's **Institutional Affiliation** is the institution(s) that provides support for the work associated with the publication. Support can be in the form of employment by the institution, academic faculty appointment to the institution, research grants related to the publication awarded to the institution, or from the use of the institution's resources and facilities. Authors may list more than one Institutional Affiliation.

Open Research and Contributor ID (ORCID) is a web-based application aimed to solve the name ambiguity problem in research and scholarly communications by creating a central registry of unique identifiers for individual researchers and an open and transparent linking mechanism between ORCID and other current researcher ID schemes. These identifiers, and the relationships among them, can be linked to the researcher's output to enhance the scientific discovery process and to improve the efficiency of research funding and collaboration within the research community. ORCID provides two core functions: (1) a registry to obtain a unique identifier and manage a record of activities, and (2) APIs (Application Programming Interfaces) that support system-to-system communication and authentication. ORCID makes its code available under an open source license, and will post an annual public data file under a CC0 waiver for free download.

Plagiarism is the appropriation of another person's ideas, processes, results or words without giving appropriate credit.

Publication or Scientific and Scholarly Publication refers to articles, abstracts, and presentations at professional meetings related to research. Publications provide the main vehicle to disseminate findings, thoughts, and analysis to the scientific, academic, and lay communities. The **Senior Author**, who is normally the last author on biomedical research journals, is the individual who assumes overall responsibility such as directing, overseeing, and guaranteeing the authenticity, accuracy, and validity of the research and research data.

PROCEDURE

Author Responsibilities

Every author must meet all the following criteria, and all those who meet these criteria must be appropriately included as authors:

1. Contribute significantly to the conception or design of the research or curriculum; or the acquisition, analysis, or interpretation of the data for the publication;
2. Participate in drafting or critically revising the publication for important intellectual content;
3. Participate sufficiently in the publication to take public responsibility for appropriate portions of the content; and
4. Provide final approval of the version to be published.

For publications that are reviews or commentaries not based in original research, authorship credit is based on criteria 2, 3, and 4 above. Providing funding for the research does not meet the criteria of being named as an author.

It is the collective responsibility of all the authors of each publication to determine that all people named as authors meet the criteria for authorship. In addition to being accountable for the parts of the work he or she has done, an author is able to identify which co-authors are responsible for other specific parts of the work.

- The **senior authors** are responsible for:
 1. Including as co-authors all and only those individuals who meet the authorship criteria.
 2. Providing the draft of the publication to each individual contributing author for review and consent for authorship. The senior author obtains consent from all co-authors and acknowledges their agreement to be designated as such on the final draft of the publication. A journal may have specific requirements governing author review and consent, which must be followed.
 3. Ensuring the integrity of the work as a whole, including taking reasonable care and effort to determine that all the data are complete, accurate, and reasonably interpreted.

If the publication has shared senior authors, all of these authors are equally responsible for their respective responsibilities.

- All **co-authors** of a publication are responsible for:
 1. Acknowledgement of meeting authorship criteria.
 2. Acknowledgement of reviewing and approving the publication.

3. Providing the content of all appropriate portions of the publication, including the integrity of any applicable research.

An individual retains the right to refuse authorship of a publication if s/he does not satisfy the criteria for authorship or chooses not to be associated with the manuscript. Any allegation of potential research misconduct (e.g. falsification, fabrication, plagiarism) by one of the authors must be brought to the Research Integrity Officer per the policy GR051 on Research Misconduct for further evaluation.

Authorship Order

The order of authors is determined by the senior author in consultation with co-authors at the onset of the project. The senior author may revise his/her decision as needed. Typically, the individual who did the majority of the research is the first author. The first author may have written most of the first draft of the manuscript. The senior author, the individual who directed and oversaw the research and takes primary responsibility for assuring the accuracy of the work, is typically the last author. All other co-authors who contributed are normally listed in the order of the level of their contribution.

Acknowledgments

Those individuals who do not meet the criteria for authorship can be listed in an acknowledgement section of the publication. All persons must give permission to be acknowledged.

Authorship Disputes

Authorship disputes, should they occur, will be resolved in a just, transparent, and clearly communicated manner which shall include documentation of resolution. The following step-wise process shall be used for the resolution of authorship disputes:

1. **Author Resolution**

The authors involved in the dispute will first attempt to resolve any disagreements concerning authorship as quickly and amicably as possible amongst themselves in order to avoid ongoing disputes that could impede or prevent publication. If necessary, parties in dispute shall include the other authors to share their perspectives.

2. **Mediation**

- a. If agreement is not reached through author resolution, the disputing parties shall seek mediation by their Department Chair(s)/Division Chief(s)/Institute Director(s), or equivalent leader(s).
- b. In instances in which multiple departments are involved, joint mediation shall be conducted by Department Chair(s)/Division Chief(s)/Institute Director(s), or equivalent leader(s), and may include all authors, as determined by the mediators. When appropriate, the Dean or Chief Medical Officer or his/her designee shall make the final decision.

Should any allegation of potential research misconduct (e.g. falsification, fabrication, plagiarism, paid or ghost writers) by one of the co-authors be made, it must be brought to the Research Integrity Officer per policy GR051 on Research Misconduct for further evaluation.

Institutional Affiliation

All authors must ensure the appropriate institutional affiliation is listed in the final publication. This will help ensure the organization receives the academic prestige and acknowledgement in future citations of the publication, which contributes to the assessment of the organization’s research output. Depending on the publication outlet, and even the type of article, there may be restrictions on the number of affiliations per author, with some allowing only one affiliation to be listed. Individuals with joint appointments at Donald and Barbara Zucker School of Medicine at Hofstra/Northwell and another Northwell institute or school are encouraged to list only the Zucker School of Medicine affiliation for archival purposes. The following formats with institutional affiliation(s) and address(es) are to be used. However, additional detailed information (i.e. author’s mailing address, department, center, etc.) may be added, as needed, to meet specific journal requirements. Affiliation format shall be determined by position as noted below.

Faculty/Staff Position:	Affiliation Format:
Faculty and Staff of the Donald and Barbara Zucker School of Medicine at Hofstra/Northwell	Academic Department of XXX, Site Facility (optional), Donald and Barbara Zucker School of Medicine at Hofstra/Northwell, Hempstead, NY
Faculty and Staff of the Hofstra Northwell School of Nursing and Physician Assistant Studies	Academic Department of XXX, Site Facility (optional), Hofstra Northwell School of Nursing and Physician Assistant Studies, Hempstead, NY
Faculty and Staff of The Feinstein Institutes for Medical Research	Feinstein Institutes for Medical Research, Northwell Health, Manhasset, NY
Faculty, Staff, and Students of the Elmezzi Graduate School of Molecular Medicine <i>*NOTE: All faculty have dual appointments to The Feinstein Institutes for Medical Research and The Elmezzi Graduate School of Molecular Medicine.</i>	<u>If no limitation on number of affiliations:</u> Elmezzi Graduate School of Molecular Medicine and Feinstein Institutes for Medical Research, Northwell Health, Manhasset, NY <u>If limited to listing only one affiliation:</u> Elmezzi Graduate School of Molecular Medicine, Manhasset, NY
Dual Faculty Appointment to The Feinstein Institutes for Medical Research and the Donald and Barbara Zucker School of Medicine at Hofstra/Northwell	<u>If no limitation on number of affiliations:</u> Feinstein Institutes for Medical Research, Northwell Health, Manhasset, NY, and Academic Department of XXX, Site Facility (optional), Donald and Barbara Zucker School of Medicine at Hofstra/Northwell, Hempstead, NY <u>If limited to listing only one affiliation:</u> Academic Department of XXX, Site Facility (optional), Donald and Barbara Zucker School of Medicine at Hofstra/Northwell, Hempstead, NY

<p>Dual Faculty Appointment to The Feinstein Institutes for Medical Research and the Hofstra Northwell School of Nursing and Physician Assistant Studies</p>	<p><u>If no limitation on number of affiliations:</u> Feinstein Institutes for Medical Research, Northwell Health, Manhasset, NY, and Academic Department of XXX, Site Facility (optional), Hofstra Northwell School of Nursing and Physician Assistant Studies, Hempstead, NY</p> <p><u>If limited to listing only one affiliation:</u> Academic Department of XXX, Site Facility (optional), Hofstra Northwell School of Nursing and Physician Assistant Studies, Hempstead, NY</p>
<p>Faculty Appointments to The Feinstein Institutes for Medical Research, The Elmezzi Graduate School of Molecular Medicine, and the Donald and Barbara Zucker School of Medicine at Hofstra/Northwell</p>	<p><u>If no limitation on number of affiliations:</u> The Elmezzi Graduate School of Molecular Medicine and Feinstein Institutes for Medical Research, Northwell Health, Manhasset, NY, and Academic Department of XXX, Site Facility (optional), Donald and Barbara Zucker School of Medicine at Hofstra/Northwell, Hempstead, NY</p> <p><u>If limited to listing only one affiliation:</u> Academic Department of XXX, Site Facility (optional), Donald and Barbara Zucker School of Medicine at Hofstra/Northwell, Hempstead, NY</p>
<p>No Faculty Appointments</p>	<p>Department of XXX, Site Facility, Northwell Health, City, State</p>

Disclosure of Funding

All authors must disclose the source(s) of funding for the research in the publication. Support includes research and educational grants, contracts, gifts, awards, and other applicable external support.

Conflicts of Interest

Authors must fully disclose, in all publications to journals, grant applications, and at professional meetings, all relevant financial interests (such as employment, consultancies, stock ownership or options, honoraria, patents, and paid expert testimony) that could be viewed as a potential conflict of interest or as required by the journal. All such financial interests must also be reported as required by Northwell Health Policy GR065 Review and Management of Conflict of Interest in Research (Individual) and Northwell Health Policy 800.03 Conflicts of Interest and Recusal.

Additional Requirements

Many journals may have additional requirements related to authorship. An author must comply with **both** the authorship requirements of the journal to which a publication is submitted and to the requirements of Northwell Health as set forth in this policy.

Researcher Universal Identification

Authors are required to register and maintain a universal identifier, using the ORCID system. ORCID provides a digital identifier that distinguishes each researcher from other researchers with similar names, allowing for easy identification of researcher output. Research Administration and the Donald and Barbara Zucker School of Medicine at Hofstra/Northwell are co-members of ORCID and will assist employees, faculty, and students to register and maintain their IDs. Staff are requested to go to http://libguides.hofstra.edu/SOM_ORCID to register or link an existing ORCID to our institutional account.

Auditing and Monitoring

The Office of Research Compliance or Internal Audit may conduct periodic routine and for-cause auditing and monitoring. It is the responsibility of all employees to conduct themselves in compliance with this policy. Employees may report incidents of non-compliance via the Corporate Compliance Help Line 1-800-894-3226 or by web-based reporting at www.northwell.ethicspoint.com.

Non-compliance with this policy will lead to disciplinary action which may include suspension or termination of employment.

REFERENCES to REGULATIONS and/or OTHER RELATED POLICIES

- International Committee of Medical Journal Editors (ICMJE): Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals (version December 2015)
- GR065 Review and Management of External Interests (COIs) in Research (Individual)
- 800.04 Gifts and Interactions with Industry
- 800.03 Conflicts of Interest and Recusal
- GR051 Research Misconduct

CLINICAL REFERENCES/PROFESSIONAL SOCIETY GUIDELINES

- N/A

ATTACHMENTS

- N/A

FORMS

- N/A

APPROVAL:	
Northwell Health Policy Committee	11/19/2020
System PICG Committee/Clinical Operations Committee	12/10/2020

Standardized Versioning History:

Approvals: * =Northwell Health Policy Committee; ** = PICG/Clinical Operations Committee; ☒ = Provisional; ❖ = Expedited

*12/18/14

**1/15/15

*06/30/16

**7/21/16

*03/29/18

**04/19/18