



## Public policies addressing health-related behaviours in Europe

# PUBLICATION RULES

**Annex IV of the Consortium Agreement, version dated 22<sup>nd</sup> October 2018  
Amended version as approved by the SG on 31<sup>st</sup> August 2020**

### 1. Scope and purpose

The PEN publication rules shall encourage scientific Publications and ensure the legitimate interests of all PEN Parties. These rules shall express the intention that each PEN consortium member can contribute and has access to publications emerging from PEN activities on an equal basis. The publication rules do not address dissemination through press releases or via popular media. The rules described here form part of the PEN Consortium Agreement, and use the terminology introduced there.

The publication rules apply to scientific Publications using data or knowledge obtained mainly within the Consortium activities of PEN. These include

1. Written, audio-visual or oral/poster presentations and lectures at congresses, symposia and workshops
2. Original contributions, reports, reviews, editorials, commentaries, and letters in scientific journals
3. Books, book chapters, reports, manuals, guidelines, and electronic material available to the public.

### 2. Submission of publication proposals

Prior to the initiation of a Publication, including those which are planned as deliverables, the involved Parties shall present a publication proposal following the process of approval of PEN publication proposals suggested by the CT (see Appendix I). The lead author completes the publication proposal template (see Appendix II), available on the PEN website, and uploads it to the website (restricted part). Publication proposals may also be sent to the Project Office, who will put it on the website. The publication proposal includes information regarding authors, working title, research question(s) to be addressed, whether the Publication is a deliverable or not, variables to be included and suggested methods of analysis, timetable and targeted journal. It also indicates who of the relevant WP-leadership and of the Coordinating Team was invited to contribute, and what the response was.

In situations where a Publication is not submitted according to the timetable by the leading author, the SG has the authority to give the lead authorship to another scientist (by a majority of two-thirds (2/3) of the votes).

Any objection to a publication proposal or suggestions for improvement has to be sent to the leading author and the SG and may include,

- a) a request for modifications concerning scientific issues, concerning authorship or concerning information contained in the proposed Publication, e.g. if it is likely to impair the industrial and commercial Use of Knowledge; or
- b) a request that the publication shall be postponed if information contained in the proposed publication is the subject matter of intellectual property protection; or
- c) a request that the main objectives of the publication shall be specified or modified to avoid conflict with the list of planned publications.

If a dispute regarding a Publication or publication proposal cannot be settled amicably within two (2) months following the initial request, the Network Coordinator shall attempt to decide the issue after consultation with

the Parties involved, in accordance with the Vancouver Rules. All objections to proposed Publications should be resolved within a period of three (3) months following the first request.

After approval/ rejection of the proposal by the SG the Network Coordinator will inform the proposer of the decision. In case of a positive decision, he will add the proposal to the list of planned Publications on the internal communication platform. The SG will monitor the progress of the manuscript development. If no noticeable progress is made within twelve months, the SG can decide whether the approval for the proposal will be withdrawn and the entry in the publication list will be deleted. An extension of the expiration date of publication proposals may be granted by the SG upon request of the leading author.

### 3. Authorship

No Party that is obviously involved in activities related to a given Publication shall be excluded from participation in that specific Publication. Workpackage Parties have first priority to publish results obtained from the work carried out within their Workpackage. All members who clearly contributed to the results should be invited to participate in the writing groups. In any case, authorship should meet all the Vancouver rules. The order of the authors should reflect contribution. Those who contributed most will be listed first. The others, the Vancouver rules being respected, may be listed in alphabetical order; it is recommended to alternate the order (ascendant A-Z, or descendent Z-A). PIs are encouraged to nominate junior scientists from their group who have been involved in the work to actively contribute to a proposed manuscript. The authors should agree among themselves as to who will be responsible for submitting the paper to the agreed journal, for dealing with reviewers/editorial comments, for checking the proofs, and for correspondence. The decision on responsibility should be communicated to the SG and the Coordinator. If not otherwise specified, the first author will be considered the responsible person. The last author position should be reserved for a senior scientist, usually an experienced researcher at PhD level or higher, who directs and supervises the Publication and takes special responsibility for scientific accuracy, valid methodology, analyses and conclusions. In particular, he/she should act as a consultant of the responsible first author to ensure that manuscripts are consistent with the quality standards usually expected by international peer-reviewed journals before circulation of the manuscript to the co-authors. Shared first/ last authorships are possible. Exceptions may be made to the above rules in case the number of authors to be listed is limited. A clear explanation should be provided in the publication proposal, and this will be considered and decided upon on a case by case basis.

Parties who are not listed in the publication proposal as potential co-authors but would like to contribute as co-authors shall actively contact the lead author before or as soon as possible after the publication proposal has been uploaded to the internal communication platform. Decision on whether these additional co-authors should be included by the responsible first author.

Authorship should follow the Vancouver rules ([www.icmje.org](http://www.icmje.org)), which prevail over the provisions in this section in any case of doubt. An excerpt is given below:

Authorship credit should be based on

- 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; and
- 2) drafting the article or revising it critically for important intellectual content; and
- 3) final approval of the version to be published.

All authors should meet conditions 1, 2, and 3. Acquisition of funding, collection of data, or general supervision of the research group, alone, does not justify authorship. In addition, being chair/ co-chair of the work package being touched by the topic of the Publication, or having been involved partially in the development of the instruments of the study, does not automatically justify inclusion as co-author of a paper. All persons designated as authors should qualify for authorship, and all those who qualify should be listed.

Each paper has to be circulated to all co-authors by the first author. The first author has the right to remove a co-author from the author list if he/she has not responded for more than 9 weeks since the circulation of the

first draft, and at least six weeks have passed since a reminder has been sent. The first reminder should be sent 3 weeks after the circulation of the first draft.

At the time of acceptance of the Publication, the paper and the data analysis syntax (including information on what data files have been used, and inclusion & exclusion criteria for study subjects) should be submitted to the Project Office.

The Project Office will be in charge of managing and monitoring the publication process according to the approved proposal and according to the items described below to ensure a fair process.

#### 4. Acknowledgement

All Publications shall include a statement that the work has been done within the framework of the Project and include the PEN website address. The list of authors shall end with the phrase "on behalf of the PEN Consortium", thus referring to the consortium but not a "group authorship" request. This removes the need to annex the list of the PEN consortium. If the journal deems this acknowledgement unacceptable, the option of adding this phrase as a non-numbered foot note to the end of the authors list should be explored. If the journal opposes both suggestions above, the lead author will add the phrase "within the framework of the PEN Consortium (www.jpi-pen.eu)" to the acknowledgements section of the Publication. The phrase "on behalf of the PEN Consortium" may be omitted for Publications written in languages other than English. Further exceptions shall be discussed on a case-by-case basis during the process of revision of the publication proposal (see Section 5.1).

Authors shall abstain from attaching the list of the PEN consortium to publications. Exceptions for special cases need approval by the CT and the SG.

Every Publication shall include the following acknowledgement:

*"The PEN project (www.jpi-pen.eu) is funded by the Joint Programming Initiative "A Healthy Diet for a Healthy Life" (JPI HDHL), a research and innovation initiative of EU member states and associated countries. The funding agencies supporting this work are (in alphabetical order of participating countries): France: Institut National de la Recherche Agronomique (INRA); Germany: Federal Ministry of Education and Research (BMBF); Ireland: Health Research Board (HRB); Italy: Ministry of Education, University and Research (MIUR); The Netherlands: The Netherlands Organisation for Health Research and Development (ZonMw); New Zealand: The University of Auckland, School of Population Health; Norway: The Research Council of Norway (RCN); Poland: The National Centre for Research and Development (NCBR)."*

This acknowledgement may be accompanied by any other acknowledgement needed.

The acknowledgement may be reduced to the following keywords on slides, transparencies, power-point or similar presentations:

*"Funded by the Joint Programming Initiative "A Healthy Diet for a Healthy Life" (JPI HDHL) with contributions from the corresponding national funding agencies of all countries participating in PEN."*

Publications in languages other than English also have to acknowledge that the work was accomplished in the framework of the PEN by using suitable translations of the phrases given above.

#### 5. Rules for preparation of Publications

The proposer shall assemble a group of potential authors that represent the necessary expertise, and that is prepared to devote the required effort for a successful and timely completion of the proposed Publication. Authors must be significant contributors to the design of the paper, data collection, analysis and/or writing, according to the Vancouver rules. A priori, no limitations of number of authors per Party are given. All the authors involved in the Publication shall approve the final draft before it is submitted to the selected journal. This

final approval must be given within three weeks after the final draft has been circulated, but before the manuscript is submitted to a journal.

#### 5.1 Submission of the Publication to a journal

The leading author as indicated on the Publication proposal shall be responsible

- for submitting the Publication to the agreed journal;
- for taking care of reviewers/editorial comments;
- for checking the proofs.

The submitted Publication (including all revisions), the proofs and the Publication as published shall be sent to the Project Office.

#### 5.2 Rules for oral/poster presentations

Oral presentations or poster presentations require the approval of the relevant WP Chair only. However, all Parties involved in the relevant work shall be informed of the content and occasion of the presentation prior to the date of the presentation. Failure to reply within 7 calendar days will be taken as consent.

Abstracts intended for oral/poster presentation and based on the Project's collaborative data will be sent to the Project Office, and will be put on the Project's website. Presenters will inform the Project Office if an abstract has been accepted for presentation.

#### 5.3 Rules for invited presentations

A person invited to present the Project itself or Project results/Foreground shall acquire prior consent of the Steering Group. In case an abstract is required, the person invited shall follow the rules for oral/poster presentations.

#### 5.4 Rules for editorials

In the event that a Party is invited to write an editorial in a peer-reviewed scientific journal (i.e. journals included in the scientific citation index), in order to inform the scientific community about the Project, such Party shall follow the procedure as described in 5.1.

### 6. Further obligations: informing the Project Office of status of publications and presentations

As soon as the author has submitted an article to a journal, he/she will report this by e-mail to the Project Office (jpi-pen@leibniz-bips.de), providing the name of the journal, the full title, the list of authors and the original abstract as submitted.

The author will inform the Project Office of each change of the status of the publication:

- if rejected or approved by the journal
- in case of rejection, if submission to another journal is planned
- if the article has been published (also electronic publication ahead of print).

For proposed presentations, the authors will inform the Project Office when the presentation:

- has been rejected or approved by the event
- has taken place, in which case the author will provide the presented slides or poster.

After having received the information of the new status of a publication or a presentation, the Project Office will update the documentation and make the provided files available to the consortium via intranet.

In compliance with the JPI HDHL guidelines for dissemination, final peer-reviewed manuscripts (accepted pre-proof versions) of articles published in a non-open access journal (usually subscription-based) will be made available at the PEN website within the specified embargo period of the journal.

## 7. Press releases

### 7.1 Scope and purpose

The rules for PEN press release shall encourage press releases following scientific publications and ensure the legitimate interests of all PEN Parties. These rules shall express the intention that each PEN consortium member has access to press releases emerging from PEN activities on an equal basis.

The press release rules apply to dissemination of scientific results using data or knowledge obtained mainly within the Consortium activities of PEN through press releases. These include official statements that give information to newspapers, magazines, television/news programs, radio stations and websites.

### 7.2 Approval of press releases

It is recommended that press releases are drafted in agreement with the leader(s) of the relevant WP(s). Press releases must be approved by one CT member before their publication. The PI of the group leading a press release is to provide the draft directly to the CT (copying the Project Office) together with the completed form (see appendix III) and allow 1 week time for their check. This period can be shortened in case a press release must be published urgently. This may be agreed orally via telephone, but requires written approval for documentation.

In case that the press release addresses overarching issues relevant for a major part of the project, such release is deemed to be approved by the entire SG. The draft will be forwarded to the SG via the Project Office.

Press releases with international character will be translated by partners in charge of dissemination activities (WP7) for their publication in all PEN countries. Translated versions will be forwarded to the Project Office for making them available at the website together with the original English version.

### 7.3 Form for submission and documentation

The completed press release form includes the press release as published and information regarding title, the responsible PI, the originally submitted draft, target group, dissemination channel, reach, date of publication and the press release as published. It also indicates who of the CT gave approval.

The completed form will be made available at the PEN website (area "News") as soon as the files are provided, for informing all partners.

The Project Office will keep documentation of all press releases, being these are part of the project's dissemination activities, which will be documented centrally.

### 7.4 Acknowledgement

All press releases shall include a statement that the work has been done within the framework of PEN. Every Press release shall include the following acknowledgement:

*"This work has been done within the Policy Evaluation Network (PEN) funded by the Joint Programming Initiative (JPI) a Healthy Diet for a Healthy Life (<http://jpi-pen.eu/>)."*

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Press releases in languages other than English also have to acknowledge that the work was accomplished in the framework of the PEN by using suitable translations of the phrases given above.

#### 7.5 Specific rules for press releases

Only results from scientific (online) publications should be disseminated through press releases. It is not allowed to use unpublished data or knowledge in press releases.

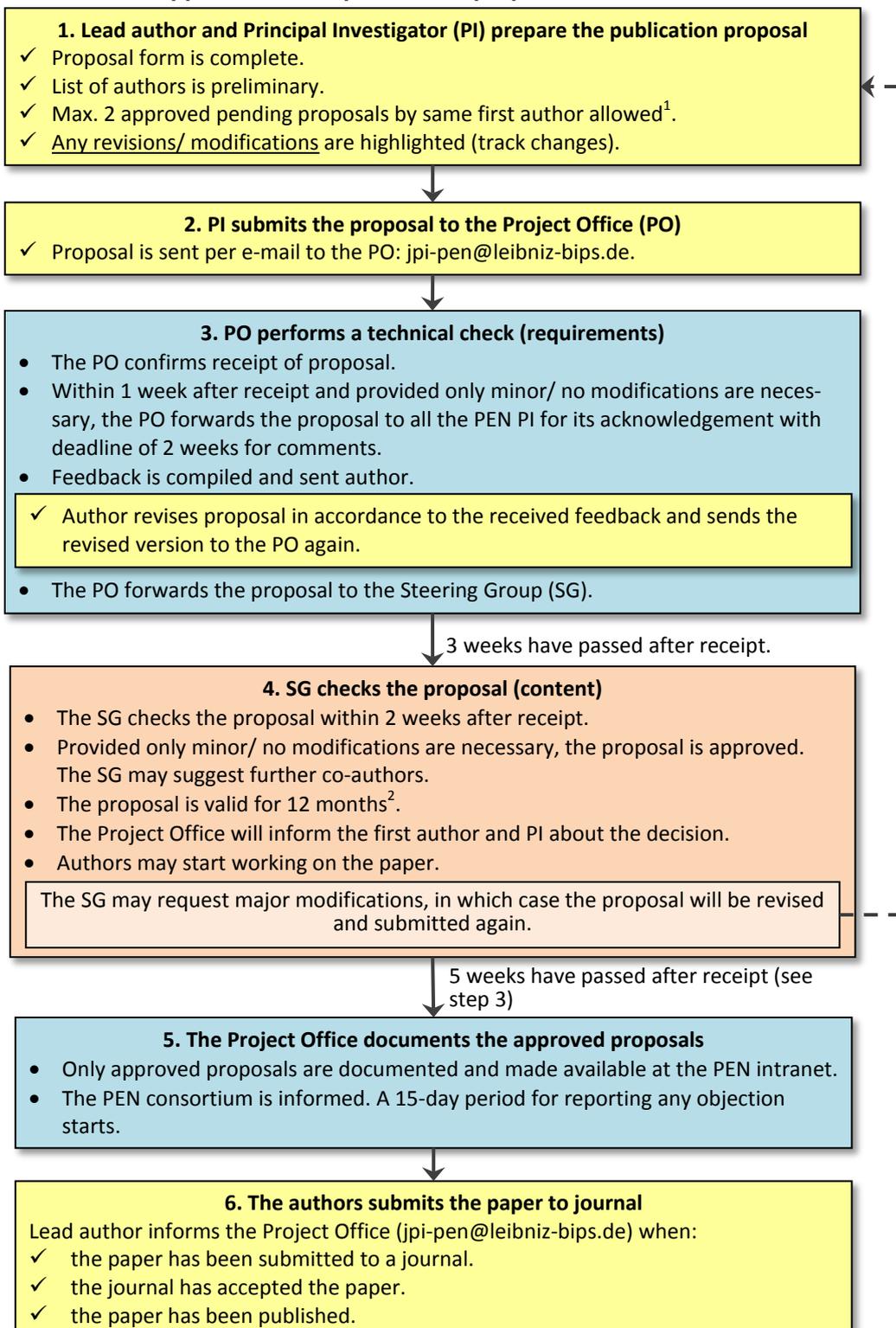
PEN shall be informed of press releases by completing the press release form. The responsible PI as indicated on the press release form shall be responsible

- for submitting the press release to the dissemination channel;
- for checking the proofs;
- for taking care of questions following the press release.

#### **8. Validity period of the Publication rules**

The publication rules will be valid for 5 (five) years beyond the formal termination of the Project.

## APPENDIX I. Process of approval of PEN publication proposals - Guide for authors



<sup>1</sup> Manuscripts are no longer considered “pending” once they are published or submitted for publication.

<sup>2</sup> If no noticeable progress is made within twelve months, the SG can decide whether the approval for the proposal will be withdrawn and the entry in the publication list will be deleted. An extension of the expiration date of publication proposals may be granted by the SG upon request of the leading author.

## APPENDIX II. Form for submission of PEN publication proposals

PEN Publication proposal (Ver. 3/12/2018)			
<b>Institution:</b>		<b>Date:</b>	dd/mm/yyyy
<b>Lead author:</b>	Name and e-mail		
<b>Principal Investigator:</b>	Name and e-mail		
<b>Type of paper:</b>	E.g. systematic review, secondary data analysis etc.		
<input type="checkbox"/> <b>Core paper</b> <input type="checkbox"/> <b>Collaborative paper</b> <input type="checkbox"/> <b>National paper</b> <input type="checkbox"/> <b>Deliverable Nr. _____</b>			
<b>Task:</b>	Number and title	<b>Is the proposed paper part of a thesis?</b>	<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
Type of submission:			
<input type="checkbox"/> <b>First submission</b> <input type="checkbox"/> <b>Check after requested revisions</b> <input type="checkbox"/> <b>Request of extension</b>		<input type="checkbox"/> <b>For reporting deviations/ modifications from original proposal</b> Please describe the deviations/ modifications:	
Suggested publication channel (journal [title], book, website):			
Subject (working title):			
Suggested authors (incl. institute acronym):			
a) Lead author: b) Co-authors: c) Last author: On behalf of the PEN consortium			
Involved non-PEN groups (specify name, institution and position):			
Background (relevant literature, rationale, research question):			
Aims and research hypotheses:			
Statistical analyses			
<b>Data to be used:</b>			
<b>Dependent variables:</b>			
<b>Main variables:</b>			
<b>Methodological approach/ analysis plan:</b>			
Related publication proposals, previous project publications (if any):			
Expected submission date of manuscript:		dd/mmm	
<input type="checkbox"/> I, the lead author, have read the PEN publication rules and will follow them when preparing the final manuscript for its submission to a journal and until its publication.		<input type="checkbox"/> The PI (mentioned above) has checked and approved the present version of this publication proposal before its submission to the CT for approval.	

## APPENDIX III. Process for submission of PEN press releases

PEN Press release form	
<b>Title:</b>	
<b>Responsible PI details</b>	<b>Name:</b>
	<b>PEN acronym:</b>
	<b>Country:</b>
	<b>E-mail:</b>
<b>Contact person(s), if other than lead author (e-mail):</b>	
<b>Press release (draft by submission)</b>	
<b>Target group:</b> <i>Scientific community, industry, civil society, policy makers, media, other</i>	
<b>Dissemination channel:</b> <i>Newspaper, magazine, television, radio station, website (provide link), other</i>	
<b>Reach of dissemination channel:</b> <i>International, national, regional</i>	
<b>Approved by CT member:</b>	
<b>Date of approval:</b>	
<b>Date of publication:</b>	
<b>Press release as published (file can be attached):</b>	