

# Publication rules of the PEN consortium

**The publication rules of the PEN project have been laid down as Annex IV of the Consortium Agreement, final version dated 22<sup>nd</sup> October 2018**

## **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, the involved Parties shall present a publication proposal. The lead author completes the publication proposal template, 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. An e-mail notifying the submission will be circulated to all members of the Steering Group (SG). 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 with-

drawn 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. The list of authors shall end with the phrase "on behalf of the PEN-Consortium". In case a journal deems this acknowledgement unacceptable, the option of adding this phrase as foot note to the end of the authors list shall be explored. In case a journal opposes to these alternatives, the phrase "within the framework of the PEN-Consortium" shall be included in 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).

Every Publication shall include the following acknowledgement: "*The PEN project 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.

### 5.5 Validity period of the Publication rules

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