

## Rockefeller University Press Authorship Responsibility, Acknowledgment, and Disclosure of Potential Conflicts of Interest

Each author must read and complete the following sections:

1. Authorship Responsibility, Criteria, and Contributions
2. Disclosure of Potential Conflicts of Interest
3. Confirmation

Journal:

Manuscript #:

Submitted Manuscript Title:

Author List:

Corresponding Author:

**Step 1. Authorship Responsibility, Criteria, and Contributions.** Each author should meet all criteria below. **A contribution statement based on this form will be published with the final version of your article; please ensure the contributions are accurate.**

RUP follows the recommendations from the [International Committee of Medical Journal Editors](#) regarding defining authors and contributors. Specifically, all authors should fulfill the following four criteria:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- Drafting the work or revising it critically for important intellectual content; AND
- Final approval of the version to be published; AND
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

**Please check this box to verify that you meet the above requirements for authorship.**

Please define your contribution to this manuscript by selecting all roles that apply. Author contributions will be circulated to all authors and require final approval by the corresponding author.

ROLE	DEFINITION
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- |  |   |
|--|---|
| <input type="checkbox"/> <b>Conceptualization</b>              | Ideas; formulation or evolution of overarching research goals and aims.   |
| <input type="checkbox"/> <b>Data curation</b>                  | Management activities to annotate (produce metadata), scrub data and maintain research data (including software code, where it is necessary for interpreting the data itself) for initial use and later re-use. |
| <input type="checkbox"/> <b>Formal analysis</b>                | Application of statistical, mathematical, computational, or other formal techniques to analyse or synthesize study data.  |
| <input type="checkbox"/> <b>Funding acquisition</b>            | Acquisition of the financial support for the project leading to this publication.   |
| <input type="checkbox"/> <b>Investigation</b>                  | Conducting a research and investigation process, specifically performing the experiments, or data/evidence collection.  |
| <input type="checkbox"/> <b>Methodology</b>                    | Development or design of methodology; creation of models.   |
| <input type="checkbox"/> <b>Project administration</b>         | Management and coordination responsibility for the research activity planning and execution.  |
| <input type="checkbox"/> <b>Resources</b>                      | Provision of study materials, reagents, materials, patients, laboratory samples, animals, instrumentation, computing resources, or other analysis tools.  |
| <input type="checkbox"/> <b>Software</b>                       | Programming, software development; designing computer programs; implementation of the computer code and supporting algorithms; testing of existing code components.   |
| <input type="checkbox"/> <b>Supervision</b>                    | Oversight and leadership responsibility for the research activity planning and execution, including mentorship external to the core team.   |
| <input type="checkbox"/> <b>Validation</b>                     | Verification, whether as a part of the activity or separate, of the overall replication/reproducibility of results/experiments and other research outputs.  |
| <input type="checkbox"/> <b>Visualization</b>                  | Preparation, creation and/or presentation of the published work, specifically visualization/data presentation.  |
| <input type="checkbox"/> <b>Writing - original draft</b>       | Preparation, creation and/or presentation of the published work, specifically writing the initial draft (including substantive translation).  |
| <input type="checkbox"/> <b>Writing - review &amp; editing</b> | Preparation, creation and/or presentation of the published work, by those from the original research group, specifically critical review, commentary or revision – including pre- or post-publication stages.   |

### Step 2. Disclosure of Potential Conflicts of Interest

The purpose of this section is to provide readers of your manuscript with information about your other interests that could influence how they receive and understand your work. The section includes the questions from the ICMJE Form for Disclosure of Potential Conflicts of Interest and is divided into 5 subsections.

Authors are expected to provide detailed information about all relevant financial interests, activities, relationships, and affiliations (other than those affiliations listed in the title page of the manuscript) including, but not limited to, employment, affiliation, funding

and grants received or pending, consultancies, honoraria or payment, speakers bureaus, stock ownership or options, expert testimony, royalties, donation of medical equipment, or patents planned, pending, or issued.

- **2A. The work under consideration for publication.**

This subsection asks for information about the work that you have submitted for publication. The time frame for this reporting is that of the work itself, from the initial conception and planning to the present. The requested information is about resources that you received, either directly or indirectly (via your institution), to enable you to complete the work. Checking "No" means that you did the work without receiving any financial support from any third party that might be perceived as a conflict of interest. If you or your institution received funds from a commercial or for-profit third party sponsor to support the work, check "Yes."

- **2B. Relevant financial activities outside the submitted work.**

This subsection asks about your financial relationships with entities in the biomedical arena that could be perceived to influence, or that give the appearance of potentially influencing, what you wrote in the submitted work. You should disclose interactions with ANY entity that could be considered broadly relevant to the work. For example, if your article is about testing an epidermal growth factor receptor (EGFR) antagonist in lung cancer, you should report all associations with entities pursuing diagnostic or therapeutic strategies in cancer in general, not just in the area of EGFR or lung cancer.

Report all sources of revenue paid (or promised to be paid) directly to you or your institution on your behalf over the 36 months prior to submission of the work. This should include all monies from sources with relevance to the submitted work, not just monies from the entity that sponsored the research. Please note that your interactions with the work's sponsor that are outside the submitted work should also be listed here. If there is any question, it is usually better to disclose a relationship than not to do so.

For grants you have received for work outside the submitted work, you should disclose support ONLY from entities that could be perceived to be affected financially by the published work, such as drug companies, or foundations supported by entities that could be perceived to have a financial stake in the outcome. Public funding sources, such as government agencies, charitable foundations, or academic institutions, need not be disclosed. For example, if a government agency sponsored a study in which you have been involved and drugs were provided by a pharmaceutical company, you need only list the pharmaceutical company.

- **2C. Intellectual property.**

This subsection asks about patents and copyrights, whether pending, issued, licensed, and/or receiving royalties.

- **2D. Relationships not covered above.**

Use this subsection to report other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work.

**Definitions.**

**Entity:** Foundation, commercial sponsor, academic institution, etc

**Grant:** A grant from an entity, generally (but not always) paid to your organization

**Personal Fees:** Monies paid to you for services rendered, generally honoraria, royalties, or fees for consulting, lectures, speakers bureaus, expert testimony, employment, or other affiliations

**Non-Financial Support:** Examples include drugs/equipment supplied by the entity, travel paid by the entity, writing assistance, administrative support, etc

**Other:** Anything not covered under the previous 3 boxes

**Pending:** The patent has been filed but not issued

**Issued:** The patent has been issued by the agency

**Licensed:** The patent has been licensed to an entity, whether earning royalties or not

- **2E. Disclosure statement.**

**Step 2A. The Work Under Consideration for Publication**

Did you or your institution at any time receive payment or services from a third party (commercial) for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc) that might be perceived as a conflict of interest?

Are there any relevant conflicts of interest?  Yes  No

If yes, please fill out the appropriate information below. If you have more than 1 entity, press the "Add" button to add a row. Excess rows can be removed by pressing the "Remove" button.

Name of Institution/Company	Grant?	Personal Fees?	Non-Financial Support?	Other?	
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Remove Add

**Step 2B. Relevant Financial Activities Outside the Submitted Work**

Place a check in the appropriate boxes in the table to indicate whether you have financial relationships (regardless of amount of

compensation) with entities as described in the instructions. Use 1 line for each entity; add as many lines as you need by clicking the "Add" button to add a row. Excess rows can be removed by pressing the "Remove" button. You should report relationships that were **present during the 36 months prior to publication**

Are there any relevant conflicts of interest?  Yes  No

If yes, please fill out the appropriate information below.

Name of Entity	Grant <sup>?</sup>	Personal Fees <sup>?</sup>	Non-Financial Support <sup>?</sup>	Other <sup>?</sup>	
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Remove Add

### Step 2C. Intellectual Property—Patents and Copyrights

Do you have any patents, whether planned, pending, or issued, broadly relevant to the work?

Are there any relevant conflicts of interest?  Yes  No

If yes, please fill out the appropriate information below. If you have more than 1 entity, press the "Add" button to add a row. Excess rows can be removed by pressing the "Remove" button.

Patent <sup>?</sup>	Pending <sup>?</sup>	Issued <sup>?</sup>	Licensed <sup>?</sup>	Royalties <sup>?</sup>	Licensee <sup>?</sup>	
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	Remove Add

### Step 2D. Relationships Not Covered Above

Are there other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work?

- Yes, the following relationships/conditions/circumstances are present (explain below):
- No other relationships/conditions/circumstances that present a potential conflict of interest

### Step 2E. Disclosure Statement

Based on the above disclosures, this form will automatically generate a disclosure statement in the box below after you click the "Generate Disclosure Statement" button. Any subsequent changes will also update the disclosure statement automatically after clicking the "Submit" button.

**Generate Disclosure Statement**

**Step 3. Confirmation.** Confirm that all information provided is accurate by checking the box below and then enter your complete name as it appears at the top of this form and date of confirmation in the fields below.

I certify that all information I have provided is accurate.

Complete Name:

Date: