

Authorship Policy

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Version 1.0

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Feedback or issues arising on implementation of this policy should be communicated to the policy author.

Policy Author:	Research Integration lead/Research Integrity Officer
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Policy Management Framework Compliance Review as requested by EMT all draft policies should be reviewed by the Policy Review Group¹ in advance of review by EMT. Please confirm that the policy was reviewed by the policy review group.

Date Policy Reviewed:	28/03/2023
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1 Introduction/Context

Dissemination of the findings of research and scholarly activities to the external community through publication is central to the South East Technological University (SETU) aims and objectives for good research practice. Appropriate recognition of authorship is an important element in the publication of research, including credit for its production, responsibility and accountability for published work. It also shows contributors' affiliation with SETU.

2 Purpose

The purpose of this policy is to ensure that authorship activities proceed in an appropriate manner.

3 Scope

The scope of this policy is to outline the guiding principles on authorship of publications arising from research activities, including collaborative work of SETU staff, researchers and students. This policy will be made generally available and published publicly via the University website.

Please Note: Authorship and inventorship are distinct and the legal requirements with respect to patenting which are covered under the SETU Intellectual property policy.

4 Principles

The general authorship principles which should be followed are listed below;

- 4.1 All authors are fully responsible for the content of a publication.
- 4.2 All contributors who meet the definition of authorship are entitled to be listed as authors in a publication.
- 4.3 All authors should be able to explain and defend the work as a whole in public or scholarly settings.
- 4.4 Authors must agree on the sequence of authorship, and agree with the general conclusions and interpretations of the work, and approve the final version of the work to be published or disseminated.
- 4.5 If an article is reviewed and not considered for publication, any further resubmissions must be agreed and approved by all authors.
- 4.6 No author can be included without their knowledge and agreement.
- 4.7 To avoid conflict, discussion and agreement on publications should take place as early as possible and should be reviewed as the project progresses. The publication agreement(s) should be held in written format for inspection should any issue arise (section 5.2 below). The lead author should normally hold the correspondence.
- 4.8 Those that do not meet the criteria for authorship outlined in this document must not be listed as authors.

- 4.9 Authors must acknowledge the contributions of others where they do not meet the criteria for authorship. This may include collaborators, steering groups, technical or administrative support or assistants.
- 4.10 All financial and other support provided for the work should be disclosed and properly cited in any publication.

5 Definitions

For the purpose of this policy the following definitions apply;

- 5.1 **Publication:** Publications are defined broadly as the published dissemination of research and scholarship with a written record including but not limited to books, book chapters, articles, published abstracts and proceedings and manuscripts. The term publication in this policy generally refers to published peer-reviewed work and excludes research theses, minor theses and student essays but does include any publications that may arise from this work.
- 5.2 **Authorship:** Authorship agreements should be mindful of the International Committee of Medical Journal Editors' (ICMJE) criteria, commonly referred to as the 'Vancouver Protocol' for establishing who is entitled to authorship [1]. To be listed as an author, an individual should have made a substantial and direct intellectual contribution to the work. For publications, an individual claiming authorship would normally satisfy all of the following four elements:
- have substantially participated in the conception and design of the work carried out, and/or in the analysis or interpretation of data;
 - have substantially participated in the writing, drafting, editing or reviewing of the intellectual content of the publication;
 - have explicitly approved the final version of the publication, including amendments to original submission;
 - have the ability to address any questions that arise, explain and defend the work in public or scholarly settings around the accuracy and integrity of the work for which the author is responsible.
- 5.3 **Non-authorship:** Non-authorship refers to individual involvements in research which are not considered alone to merit authorship:
- Acquisition of project funding;
 - Being the owner of a grant or of equipment used;
 - Data collection, unless it makes a significant conceptual contribution to the project and all other criteria are met for authorship;
 - Routine technical or support work;
 - Providing feedback on a draft manuscript without contributing to conceptualisation, analysis or interpretation of the work;
 - Minor editing or proof reading of manuscripts;
 - Payment for services rendered as a researcher or consultant unless authorship criteria is met;
 - Being in a supervisory, managerial or leadership position in the department, school, faculty, research centre or institute where the research was conducted.

- 5.3.1 The following are incompatible with the definition of authorship and are not permitted at SETU:
- Gift or silent authorship – where an individual has not made any significant contribution to the research but is named as an author as a sense of obligation or for the purpose of gaining some anticipated benefit.
 - Guest authorship – where an individual is named in the anticipation that it will improve the status of the publication or will add to the credibility of the research.
 - Joint support authorship – where an individual is added to a publication as a gesture or as part of a reciprocal gesture to improve an author’s standing or increase their publication record.
 - Incentive/payment for authorship – where an individual offers an incentive or gift in direct return for authorship.
 - Ghost authorship - when an individual participates actively in the research and is deliberately omitted in either the author list or acknowledgments section.

5.4 Individuals who do not meet the criteria for authorship but who have contributed to the research should have their work acknowledged with their consent. This acknowledgment should include a description of the contribution made, and be in keeping with discipline norms. Failure by research authors to acknowledge the contributions of others is regarded as research misconduct.

6 Policy

Authors should always adhere to the highest levels of research ethics and standards in line with the requirements set out by regulatory bodies, funding agencies and national and local research policy. Authors can refer to the Credit Taxonomy for contribution types, see reference [2] page 9.

- 6.1 Order of authorship: Listing order of authors varies according to scholarly discipline, and by publication policies of individual publishers. Applying common terminology to describe authors are considered useful in dictating order.
- *Lead author* is/are the author(s) who take the lead on delivering the publication.
 - *Senior author* is/are the author(s) under which the overall leadership of the work conducted. It is the responsibility of the senior author to ensure that all eligible person(s) are included.
 - *Corresponding author* is the author who acts in a co-ordinating role and manages the correspondence with a publisher. The corresponding author usually plays a major role in the drafting of the piece. The corresponding author takes on the responsibility of submissions, approvals and resubmissions.

These roles may be reflected in the order of the author list, lead author(s), other authors and senior author(s). However, the order in which authors are listed should be as follows; (unless dictated by the publisher):

- Be a collective decision and agreed in advance of submission and in writing.
- Accurately reflect the work done by each author.

- 6.2 The designated Principal Investigator or Project Supervisor (if applicable) does not automatically dictate the order of authorship and it should be considered amongst all authors if they merit a particular placing in the list in keeping with the principle and publication guidelines. Authors should agree the listing order among themselves in a manner that accords and fairly reflects the equity of the work done by each author in line with publication principles (see section 4).
- 6.3 All authors have a responsibility for evaluating their roles and the roles of co-authors in any publication to ensure that they comply with authorship policy and fair assessment regarding contributions to the work.
- 6.4 Author(s) should seek to disseminate their research findings through appropriate publications channels to enhance and maximise the standing of the work. A joint decision by authors should be made on where the piece is to be submitted to.
- 6.5 Author(s) must clearly cite and acknowledge all sources in the work, including their own previous work. Previous work must be cited as appropriate and not presented as original content.
- 6.6 The protection of intellectual property should be considered where appropriate. Author(s) must comply with the University policy on Intellectual Property, and before publication should disclose to the Technology Transfer Office any intellectual property to be protected and/or commercialised.
- 6.7 Consideration of GDPR and confidential data should be met prior to any submission.
- 6.8 Author(s) must comply with any agreements of the relevant funding agencies when publishing the finding of their work and must disclose the support/agreements given as required.
- 6.9 Author(s) must follow the SETU conflicts of interest policy and should declare any conflict of interest in the dissemination activity as appropriate.
- 6.10 All authors should normally deposit publications in an open access repository and comply with Open Research principles and any other requirement of the funding agency with respect to Open Access.
- 6.11 If new information becomes available post publication, then it is the responsibility of the lead author(s) to correct the record with the co-operation of the corresponding author and other authors. This should take place as early as possible and be communicated to any external funders. Any resubmission should follow good publication practice and be done with the agreement of all authors.
- 6.12 Withdrawal of a publication should be notified to the Head of Research at SETU by the lead author(s) and to any external funder as appropriate. The reason for withdrawal should be stated and may be subject to further investigation by SETU.

- 6.13 Author(s) must disclose their affiliation with SETU in all publications, including the full name of SETU and the relevant school, department or research centre. If an author is directly employed by SETU and/or registered as a student, then they must indicate SETU as their primary affiliation and other affiliations as appropriate.

7 Authorship involving External Collaborators and Multicentre Research

A collaborative publication agreement should be put in place as early as possible to determine how authorship and other forms of credit will be decided. In many early stages of research, it may not be possible to determine how authorship will proceed. In this case collaborators should agree in advance on the criteria that will be used to guide the process and outcome for making decisions about inclusion and ranking of authorship. The role and responsibilities of authorship contained in this document remain for any published work conducted under the auspices of the institutional identity.

- 7.1 Authorship that involves externally affiliated collaborators (for example employed by another university) and multicentre research groups with direct responsibility for a publication (either as primary or co-author) should be identified within a proposed publication and within the pre-publication agreement. These individuals should fully meet the criteria for authorship referenced to the pre-publication agreement processes and outcomes as indicated above.

8 Authorship Disputes

Disputes may arise between authors and should be managed in a professional manner. It is acknowledged that authorship practices vary significantly between academic disciplines. Deviations away from this policy can only be made through written communication with the Head of Research. Disputes over authorship, be they relating to whether an individual's contribution justifies their listing as an author, or regarding the order of authorship, should be resolved in consultation between all of the authors.

Every effort should be made to resolve the dispute locally with the assistance of the Head of Department/Function. If resolution cannot be achieved locally or a conflict of interest arises, arrangements should be made by the Department/Function for mediation by a knowledgeable and disinterested third party acceptable to all authors. If the authors cannot agree on a mutually acceptable mediator, the Head of Research shall appoint a mediator. During the mediation process, all the authors are expected to refrain from unilateral actions that may damage the authorship interests and rights of the other authors. Decisions of the mediation process are considered final but can be appealed in writing to the relevant Vice President.

9 Compliance

It is expected that all employees of the University, enrolled learners and associated collaborators comply with this policy.

10 Useful Links

[SETU Policies](#)

[Elsevier Ethical Publishing](#)

11 Review of Policy

This policy will be reviewed in advance of the review date i.e. 5 June 2027, and/or as soon as possible following new or updated legislation, national or sectoral policy.

12 Policy Author

The authors of this policy are the Research Integrity officer, Head of Research, Technology Transfer Manager, Open Science Support Officer. Any feedback or issues arising on implementation of this policy should be communicated to the policy authors. They are responsible to ensure that the Policy Owner is aware of these comments when reviewing the policy.

13 References and Acknowledgements

1. Defining the Role of Authors and Contributors, International Committee of Medical Journal Editors (2022) available at [ICMJE | Recommendations | Defining the Role of Authors and Contributors](#)
2. Credit (contributor Roles Taxonomy [CRediT – Contributor Roles Taxonomy \(niso.org\)](#)) The roles describe each contributor’s specific contribution to the scholarly output.
3. National policy Statement on Ensuring Research Integrity in Ireland (2019).
4. Authorship policy – University College Dublin.
5. Authorship and Publications for Research Guidance Document – University of Limerick.
6. Guidance on authorship in scholarly or scientific publications – Yale University.