



UCD Authorship Policy

Policy owner	UCD Research & Innovation	Approval date and body	UMT, 4 th December 2018
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1. Purpose

Dissemination of the findings of research and scholarship through excellent publications is central to the University's mission. Appropriate recognition of authorship is an important element of a publication, reflecting both credit and responsibility for the work.

2. Definitions

Authorship: Authorship is an explicit way of assigning responsibility and giving credit for intellectual work. An author must have made **substantial intellectual contributions** to the document, including all of the following four elements:

- a) Planning and Execution: contributing significantly to the conception, design and/or execution of the work, and / or the analysis or interpretation of data; and
- b) Writing: drafting, reviewing and/or revising the intellectual content of the manuscript; and
- c) Approval: approving the manuscript to be published; and
- d) Accountability: addressing any questions that arise, either before or after publication, around the accuracy or integrity of those aspects of the work for which the author is responsible.

The requirement for substantial intellectual contributions means that contributions such as routine data acquisition, leadership on a research grant and provision of samples do not on their own merit authorship, in the absence of the other responsibilities outlined in points a-d above. Equally, those who have made substantial intellectual contributions must be afforded the possibility to participate in activities a-d and therefore to qualify as authors.

Publications: Publications are defined broadly to include all dissemination of research and scholarship with a written record including, but not limited to, books, book chapters, articles, published abstracts and proceedings, and manuscripts. Research theses, minor theses and student essays are excluded from the policy, but publications arising from these are included. Patent authorship is covered in the University's policy on intellectual property.

3. Scope

The scope of this document is to outline the policy of University College Dublin on authorship of publications arising from the research and scholarship of UCD faculty, staff, researchers and students.

4. Principles

- All contributors who meet the definition of authorship are entitled to be listed as authors in a publication, and those who do not meet the definition must not be listed as authors.
- Those who do not meet the definition of authorship, but have made a contribution to the work, may be acknowledged in the publication.
- The following are incompatible with the definition of authorship:
 - Gift authorship: authorship offered from a sense of obligation, tribute, or dependence including, but not limited to, within the context of an anticipated benefit.
 - Guest (or honorary) authorship: authorship offered out of appreciation or respect for an individual, or in the belief that expert standing of the guest will increase the status, credibility or likelihood of publication of the work.
- The order in which the authors are listed, unless determined by the journal or publisher, is a collective decision of the authors, and must be agreed in advance of submission.
- It is acknowledged that the terminology used to describe author roles may differ between disciplines. Commonly, the “lead author(s)” is/are the author(s) who take(s) the lead on delivering the publication; and the “senior author(s)” is/are the author(s) under whose overall leadership the work was executed. These roles may be reflected in the order of the author list.
- The authors should also agree one (or occasionally more) “corresponding author(s)”, who may or may not be a lead or senior author, and who serve(s) as the principal point of contact with the publisher and others.
- In some disciplines or for some journals/publishers it may be necessary to agree and record the particular contribution of each author and their percentage contribution to the work, prior to final submission.
- No author can be included without their knowledge and agreement. Responsibility for a publication cannot be attributed to a person who had no involvement in the work leading to the publication.
- An author can withdraw their name from a manuscript through a written communication to the corresponding author.
- To avoid confusion and conflict, discussion of attribution and roles should be initiated as early as appropriate in the development of a project and subsequent publications, adjusting as required as the project evolves.
- Where there is dispute over authorship, every effort should be made to resolve this locally with the assistance of the Head of School / Unit and/or College Principal, who may convene a panel of senior academics to assist in achieving resolution.

Without an approved derogation, serious or repeated failure(s) to comply with this policy may be deemed a breach of research integrity.

5. Roles and responsibilities of Authors

- Authors should always adhere to the highest level of research ethics and standards in line with requirements set out by national regulatory bodies, professional and regulatory research

guidance, relevant research funding agencies and the University's research ethics policy and guidelines.

- Authors should seek to disseminate their research findings through publications with the appropriate content, through channels that enhance the impact and standing of the work and in an appropriately timely fashion, paying due regard to considerations such as the protection of intellectual property and of confidential data.
- Authors should normally deposit publications in an open access repository, in the absence of a valid reason not to do so, and must comply with the requirements of the relevant funding agencies in this regard.
- Authors must clearly cite and acknowledge all sources used in the work, including their own previous work, and secure copyright permission as required. In particular, authors must not present the same work as original content (i.e. without appropriate citation) in multiple publications.
- Authors must comply with the terms and conditions of the relevant funding agencies when publishing the findings of their research, and must acknowledge / disclose the source(s) of support for the work transparently and as required by the funding agencies or other relevant parties.
- Authors must comply with the University policy on conflict of interest and must disclose any relevant conflicts of interest within publications and disseminations of research as appropriate.
- Authors must comply with the University policy on Intellectual Property, and before publication should disclose to the Knowledge Transfer Office any intellectual property that should be protected and commercialised.
- All authors are responsible for fairly evaluating their roles in the project as well as the roles of their co-authors to ensure that authorship is attributed appropriately.
- The corresponding author is responsible for ensuring that all persons listed as authors have received a copy of the manuscript to be submitted, know where it is being submitted, approve the submission and agree to be included as authors. This includes separate approval of resubmissions, either to the original journal following editing or to a new journal. All of these approvals should be given in writing (which includes email), and copies of all such correspondence must be retained by the corresponding author. If there are multiple corresponding authors, the division of responsibilities must be agreed in writing.
- All authors are obliged to engage with this approvals process in a timely fashion.
- The senior author(s) is/are responsible for ensuring that no one entitled to authorship is omitted from the author list.
- If new information becomes known post-publication that requires the research record to be corrected, it is the authors' responsibility to do so at the earliest possible opportunity. The lead author(s), with the cooperation of the corresponding author(s), should take the lead on making the necessary communications with the other authors, journal(s) and funding agency(ies). In cases of re-publication or the publication of corrections to original work, all parties should be informed and consent should be obtained, except in extraordinary situations where this is not possible.
- Authors must notify the University and the funding agencies of the withdrawal of previously published research, regardless of the circumstances, at the earliest possible opportunity.

- The full name of the University (University College Dublin) and of the relevant School/Unit(s)¹ should be stated in all publications.
- Full-time UCD employees with more than one institutional affiliation must list University College Dublin as their first / primary affiliation.
- Use of UCD core technology and other relevant facilities should be acknowledged as appropriate.

6. Variations

It is acknowledged that authorship practices vary significantly between disciplines. Derogations from this policy may be confirmed through written communication with the Vice-President for Research, Innovation and Impact if they are based on clearly established practice within a discipline; are recommended by the College Principal; and approved by the Vice-President for Research, Innovation and Impact.

7. Related documents

This policy should adhere to and be cognisant of other relevant National and University policies and codes. A non-exhaustive list of such policies and codes is listed below.

- UCD Code of Good Practice in Research
- UCD Conflict of Interest Policy
- UCD Data Protection Policy
- UCD Intellectual Property Policy
- UCD Plagiarism Policy
- UCD Procedure for the Investigation of Misconduct in Research
- UCD Research Ethics Policy
- UCD Research Integrity Policy
- National Policy Statement on Ensuring Research Integrity in Ireland, 2014

8. Acknowledgments

UCD wishes to acknowledge the use of the following documents whilst formulating this policy.

- Policy of authorship on scientific and scholarly publications – Washington University
- Guidance on authorship in scholarly or scientific publications – Yale University
- Principles of good research practice for publication & authorship – Sheffield Hallam University
- National Policy Statement on Ensuring Research Integrity in Ireland, 2014

9. Version history

Date	Approving Body	Author
15 th October 2018	RIIG	UCD Research & Innovation
22 nd November 2018	AC consultation	UCD Research & Innovation
4 th December 2018	UMT	UCD Research & Innovation

¹ Please see any relevant Institute/Centre/Unit Policy for reference