Authorship and Publication Policy

Policy for authorship and publication of research and innovation outputs of TU Dublin and/or by TU Dublin staff and students

Dr Steve Meaney

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1. Document Control Summary

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2. Introduction / Context

The staff and students of TU Dublin engage in a wide variety of different scholarly, research and innovation endeavours, both internally and in collaboration with external academic, community, society and industrial partners. The outputs of these activities may be shared with the research and innovation community (and wider society) in different traditional (e.g. peer-review journal, book, conference, exhibition, performance) and contemporary (e.g. pre-print servers, project websites, webinars, social media, live stream) formats.

Authorship-related misconduct is perhaps the most common trigger of investigations into research misconduct, with approximately one-third of reported research integrity cases in Ireland in the 2016-2021 period due to authorship or publication related misconduct. In addition, the proliferation of predatory publishing and dissemination practices (e.g. publication with little or no peer review, fake conferences) has emerged as a serious concern whereby dissemination of poor-quality material may be facilitated for a fee, with little or no peer review.

TU Dublin is committed to ensuring that the outputs of research, innovation and scholarly activity are appropriately attributed to the relevant authors/creators, include clear indication of their University (and potentially secondary) affiliation and meet the standards required to ensure alignment with best practices in authorship and publication, and to minimize the reputational risks for individual researchers and the University. A clear and comprehensive authorship and publication policy is a key measure to protect against poor research conduct related to authorship and publication.

3. Purpose

The University expects that the dissemination of all research and innovation outputs carried out by, or on behalf of, TU Dublin adheres to the highest standards of authorship and publication practice. This document describes the core policy related to authorship and publication of research, innovation and scholarly outputs at TU Dublin. The policy has been designed to provide a framework to enable researchers to meet their obligations under the University's Code of Conduct for Responsible Research and Innovation Practice and Principles of Responsible Conduct of Research and Innovation, and ensure alignment with international standards (e.g. those of the Committee on Publication Ethics, COPE)

4. Scope

This policy applies to all TU Dublin students and researchers – including those with positions as emeritus/emerita staff, visiting scholars and those with adjunct status – who are engaged in research, innovation and scholarship, in any domain of inquiry, and at all levels of the national framework for qualifications. Given the highly collaborative nature of modern research, this policy will apply to TU Dublin researchers involved in national or international collaborative efforts which give rise to a research and innovation output.

This policy does not apply to routine publications which would be considered to be outputs of the University that arise in relation to routine business that does not have an explicit research, innovation or scholarship focus (e.g. University reports, curricula, guides, the University prospectus, non-capstone assessments). It does not apply to documentation which would be required to support protection of intellectual property as noted in REP01 - Policy for the management of TU Dublin Intellectual Property.

It does not apply to colleagues who undertake the dissemination of the outputs of research, innovation or scholarship in their own right in a private capacity without recourse to any form of TU Dublin resources, facilities or insurance indemnification. If a colleague engages in research and innovation activities, including dissemination of outputs of these activities, in a manner facilitated by or conditional on the use of their TU Dublin affiliation (e.g. access to library resources, software, University email) they shall be considered subject to this policy, even if the research is carried out in a private capacity as noted above.

5. Definitions

The following are some identified core definitions used in this document. These include:

- o Author - An individual who has a sufficient level of involvement in the production of a research, innovation and scholarship output that they may be considered to have a claim on that output, in alignment with the principles noted in this document. Note that for the purposes of this policy, an author includes (but is not limited to) all creators, artists, performers, innovators, researchers and scholars who have solely, or as part of a collaborative effort, lead to a research, innovation or scholarship output.

- o Author's final version – The version of the output of research, innovation and/or scholarship which has passed through a process of peer-review but which has not yet been formatted or otherwise processed for final dissemination (e.g. typeset, formatting, audio mastered).

- o Dissemination channels – The mechanism(s) by which an output is communicated to a target audience, traditionally via publication, conference, exhibition or performance.

- o Conflict of Interest – The conflict between the duties of an individual as researcher at TU Dublin on the one hand and their personal interests on the other.

- o FAIR principles – The set of core principles and practices designed to support open research, data sharing and data reuse, i.e. that digital outputs should be Findable, Accessible, Interoperable and Reusable.

- o Ghost authorship – The inappropriate practice of not including any individual who has participated in the activities giving rise to the research, innovation or scholarly output in the author list, methodological details or the formal acknowledgements of the output, including professional agents contracted to assist with search strategy, data analysis, writing or the preparation of images, and library and/or technical staff who may have completed the research.

- o Gift authorship – The inappropriate practice of including someone who would not be considered to be an author, under the principles noted below, but who is included in the author list of a research, innovation or scholarly output, for example gifted to a senior colleague for political or coercive reasons.

- o Guest authorship – The practice of including a notable or influential author in a research, innovation or scholarly output, when they have not made sufficient contribution to be considered an author, to enhance the credibility, likelihood of publication or acceptance of the output.

- o Open access repository – A digital platform that holds research, innovation and scholarly outputs which provides free, immediate and permanent access to those outputs via the internet, noting that some material may be temporarily embargoed.

- o Output – The interim or final result of research, innovation or scholarly activities that is disseminated to one of more limited communities (e.g. specialised, disciplinary) or to broader society, in any form which is common/accepted practice in the area of activity (e.g. exhibition, performance, publication, presentation).

- o Paper mill – An organisation or business that fabricates complete research manuscripts, which appear to resemble authentic research, and submits them to a journal for a fee on behalf of researchers with the purpose of facilitating a publication, or which sells authorship[1].

- o Predatory journals and publishers – Entities that prioritize self-interest at the expense of authentic scholarship and are characterized by false or misleading information, deviation from best editorial and publication practices, a lack of transparency, and/or the use of aggressive and indiscriminate solicitation practices[2].

- o Pre-print – The practice of sharing an output online, typically a manuscript, prepared for publication with the research, innovation and scholarly community before review by a journal. This enables rapid sharing of outputs and interaction between the community and the author, facilitating feedback in advance of formal peer review.

- o Researcher – staff and/or students of TU Dublin – including those with positions as emeritus/emerita staff, visiting scholars and those with adjunct status – who are engaged in activities with a clear and explicit research intent.

- o Research and innovation – Research and innovation activities are creative and systematic efforts carried out with the intention to expand the boundaries of human knowledge and/or to create novel applications of knowledge.

[1] Adapted from https://publicationethics.org/sites/default/files/paper-mills-cope-stm-research-report.pdf

[2] Grudniewicz *et al*, Nature (2019); doi: https://doi.org/10.1038/d41586-019-03759-y

o Research integrity – The performance of research to the highest standards of professionalism and rigour, to support the patency and reliability of the research record (i.e. as published in peer-reviewed publications or otherwise disseminated)

o Scholarship - Activities related to scholarship reflect high level learning and academic practice which do not fall under the definition of research and innovation, but which represent important activities undertaken by academics. They include a broad range of activities such as artistic practice, performance and/or exhibition, authoring of written material (e.g. books, broadsheets, monographs), and engagement with communities and society (e.g. scientific outreach).

o Student – an individual who is registered within TU Dublin for a defined award at any level of the national framework for qualifications.

6. Policy Details:

6.1 Policy Overview

This document outlines the core framework by which the University will support and facilitate University staff to disseminate the outputs of their research, innovation and scholarship in a manner that is aligned with the principles of responsible conduct of research and scientific integrity. The framework sets out the standards expected by the University in relation to authorship, publication and dissemination of research, innovation and scholarly outputs.

Further procedural details are contained in RESOP003 – TU Dublin Guidelines for Authorship Agreements and RESOP006 – TU Dublin Guidelines for Dissemination of Research, Innovation and Scholarly outputs (in preparation).

6.2 Principles of Authorship of Research, Innovation and Scholarly Outputs

The general principles for Authorship of Research, Innovation and Scholarly Outputs (hereafter authorship) are aligned with best national and international practices and guidelines, such as The European Code of Conduct for Research Integrity, The Policy Statement on Ensuring Research Integrity in Ireland, the Guidelines of the Committee on Publication Ethics and the International Committee of Medical Journal Editors, the Contributor Roles Taxonomy (CRediT) approach and the League of European Research Universities (LERU) report on Defining Responsible and Equitable Authorship by a Principle-based Approach. Large Language Models (LLMs) cannot considered as authors and should not be included as such in any output of the University.

The documents noted above outline a number of common principles that are recommended to support equity, fairness and transparency in dissemination of research, innovation and scholarly outputs, and research integrity in general. These represent key behaviours and processes that support integrity in the research dissemination process, many of which are already embedded in researchers' practice across the university.

In brief, all authors are required to ensure that:

o Only those who have made a significant contribution to, and who take responsibility for, the research, innovation and/or scholarly output are included in the author list;
o A formal authorship agreement exists which specifies:

- the order of authors in the research, innovation and/or scholarly output, in situations where the order of the authors indicates seniority or primary authorship;
- the corresponding author (or authors) of the output;
- that no guest, ghost or gift authors will be included in any output;
- the approach to approval in the event of uncontactable, inaccessible or incapacitated authors (e.g. illness, statutory leave)

o The final submitted, published, presented or otherwise disseminated version of any research, innovation and/or scholarly output, including the use of pre-print servers:
- is formally agreed and approved by all authors;
- includes an author contribution statement whenever possible;
- includes recognition and/or acknowledgement of the contribution of those who do not meet the criteria for authorship noted above but who have contributed to the output (e.g. collaborator provision of materials, technical staff input, funders);
- is accurate, honest and created to the highest standards of the domain or discipline;

o The contribution of any tools or agencies, e.g. large language models, professional writing, artistic and/or design tools and services that are beyond simple spellcheck, grammar check and reference management, to the final output are clearly described;

o All reasonable steps have been taken to ensure that the output is free of falsification, fabrication and plagiarism, including the use of best professional judgement and the use of University-supported similarity evaluation tools;

o The output adheres to any applicable laws and regulations (e.g. intellectual property, copyright);

o The sources of the support and funding for the research are clearly identified and appropriately acknowledged;

o Any financial and non-financial conflicts of interest of authors relevant to the research, innovation and/or scholarly output are disclosed;

o All necessary updates to the record or research, innovation and/or scholarly outputs, including correction and/or retraction of published, presented or otherwise disseminated outputs, are completed promptly without obfuscation;

o Whenever possible, an ORCID iD for all authors is included in research, innovation and scholarly outputs.

o All required affiliations are included in the research, innovation and/or scholarly output, noting the inclusion of any category of author as noted in Section 4 above requires the inclusion of a TU Dublin affiliation;

o A TU Dublin affiliation is recorded for authors who have a non-TU Dublin affiliation at the time of publication but who made a significant contribution to the research, innovation or scholarly activity as one of the categories of author noted in Section 4.

6.3 Principles of publication, presentation and dissemination of research, innovation and/or scholarly outputs

To maximise the real-world impacts of University endeavours in research, innovation and/or scholarship, TU Dublin is committed the broadest possible dissemination of the outputs of these efforts and the principles of open research. To ensure that such dissemination does not expose the author to the potential for misconduct related to publication, presentation and/or dissemination, the University has defined core principles for authors with regards to these

activities. These are derived from the international standards and professional guidelines as noted in Section 6.2 of this policy.

All authors are required to:

- o Ensure that, prior to publication, presentation and/or dissemination, all reasonable efforts are made to ensure that the output is free of falsification, fabrication and plagiarism, including the use of best professional judgement and the use of University-supported similarity evaluation tools (e.g. for text, image or code);
- o Ensure that all research, innovation and scholarly outputs affiliated with the University are published, presented or disseminated through reputable and recognised dissemination channels and events (e.g. journals, publishers, conferences, websites, exhibitions) and that publishers with questionable and/or predatory practices are avoided;
- o Ensure that all appropriate protections are in place in relation to any intellectual property generated in relation to the research, innovation and/or scholarly activity;
- o Deposit, whenever possible and considering both potential intellectual property aspects and subsequent publication, presentation and/or dissemination requirements, a version of any research, innovation and/or scholarly output in an appropriate pre-print server;
- o Deposit the author's final version of any research, innovation and/or scholarly output in Arrow, the University's Open Access repository.
- o Deposit, whenever possible, a FAIR compliant and appropriately formatted dataset/collection of digital artefacts associated with a publication, presentation and dissemination of research, innovation and/or scholarly outputs in a secure, appropriate data repository. Domain specific repositories should be used where available in the first instance. Where not possible to deposit and/or share the data directly, appropriate metadata records should be created instead.
- o Ensure that all outputs which have been generated as a result of/in collaboration with (e.g. research) participants are disseminated to the participants in an appropriate form.

6.4 Responsibilities of those engaged in research and innovation

All those involved in the publication, presentation and/or dissemination of the outputs or research, innovation and scholarly activities, including research support staff and University leadership, are required to:

- o Familiarise themselves with the following documents:
  - RESOP003 – TU Dublin Guidelines for Authorship Agreements
  - RESOP004 – TU Dublin Guidelines for Criteria for Authorship in Research, Innovation and Scholarly outputs
  - RESOP005 – TU Dublin Guidelines for Open Research (in preparation)
  - RESOP006 – TU Dublin Guidelines for Dissemination of Research, Innovation and Scholarly outputs (in preparation)
- o Complete a baseline training in relation to authorship and publication, and any required refresher training;
- o Follow the requirements of authorship and publication, as defined in this policy.

Graduate students and postdoctoral researcher supervisors, and line managers of contract research staff, must ensure that those reporting to them are facilitated to complete required training and support authorship practices that are in line with this policy.

Individuals with higher-level responsibility for a research activity within the University, e.g. research hub lead, centre manager and heads of School/Discipline, must ensure that all researchers within their remit are facilitated to complete required training and support authorship practices that are in line with this policy.

6.5 Responsibilities of the University

The University will ensure that those involved in the preparation and dissemination of research, innovation and/or scholarly outputs:

- o Receive rigorous training in areas related to authorship including, but not limited to, open research practices, authorship agreements, pre-prints, and the use of large language models;
- o Have access to the necessary tools, physical and/or digital, to support the preparation and dissemination of their outputs.

6.6 Approval process

Amendments to this policy must be approved by Governing Body.

6.7 Change Process

TU Dublin Research and Innovation provides administrative support, and the Vice President for Research and Innovation has responsibility for this Policy.

This policy will be reviewed at least every five years and more often if needed.

7. Related Documents

This Policy refers to other TU Dublin policy documents including:
- REP01 TU Dublin IP Policy 2023
- REP04-Research Integrity Policy
- RESOP003 – TU Dublin Guidelines for Authorship Agreements
- RESOP004 – TU Dublin Guidelines for Criteria for Authorship in Research, Innovation and Scholarly outputs
- RESOP005-TU Dublin Guidelines for open research (in preparation)
- RESOP006- TU Dublin Guidelines for Dissemination of Research, Innovation and Scholarly outputs (in preparation)

8. Document Management

8.1 Version Control

VERSION NUMBER	VERSION DESCRIPTION / CHANGES MADE	AUTHOR	DATE
V0.1	Initial draft	Steve Meaney	16th November 2023
V0.2	Draft for R&I Academy Review	Steve Meaney	22nd November 2023
V0.3	Revised following working group input	Steve Meaney	01st February 2023
V0.4	Revised for April R&I	Steve Meaney	25th April 2024
V0.5	Minor amendments following April R&I	Steve Meaney	9th May 2024
V0.6	Version control update for GB-ARC	Steve Meaney	17th May 2024

V0.7	Update following GB-ARC	Steve Meaney	7th June 2024

8.2 Document Approval

VERSION NUMBER	APPROVAL DATE	APPROVED BY (NAME AND ROLE)
V0.7	3rd July 2024	Governing Body

8.3 Document Ownership

Accountability to defining, developing, monitoring and updating the content of this document rests with the Vice President for Research and Innovation

8.4 Document Review

The Vice President for Research and Innovation is accountable to review this document. This document should be approved by both the University Executive Team and Governing Body.

8.5 Document Storage

This document will be stored on the TU Dublin content management systems under the Policies INTRANET folder.

8.6 Document Classification

As this document is a policy it is classified as TU Dublin Public.