Authorship and Publication (Research)

Policy

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Authorship and Publication (Research) Policy

1. Authorship and Publication (Research)

1.1 It is important that researchers publish their work so that the results can enter the public domain and to be of benefit to society, which will enable other researchers to use the results to further knowledge. In addition, when public money is used to fund research, there is a responsibility to report on how that money was spent. This Policy should be read in conjunction with the University of the Built Environment's Open Access Policy (opens new window).

1.2 This policy relates to work that could be classed as a research output; this includes, but is not limited to:

- Journal papers;
- Conference proceedings;
- Books and book chapters;
- Monographs;
- Exhibitions;
- Reports.

This policy also applies to other aspects related to research publication, such as, but not limited to book editorship, conference proceedings, and journal editorials. This policy does not apply to teaching materials, conversation pieces, blogs or marketing activities, unless they are promoting an output or research project.

1.3 Research that is published should be accurate and results must not be selected in a way that is misleading. Findings must be an honest portrayal, and researchers must clearly explain the methods used and who conducted the research. If inaccuracies are found in published work, these should be corrected as soon as possible to ensure that only the correct version is being used or relied upon by others. **Transparency and Openness Promotion (TOP) guidelines** (OSF 2023)[1] are useful in implementing transparent research.

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[1] OSF | Transparency and Openness Promotion (TOP) Guidelines Wiki (opens new window).

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1.4   The University will support its researchers to ensure that the funders are not able to influence or censor research findings. Researchers who are discouraged from publishing and disseminating their research or its findings and/or are subjected to attempts to influence the presentation or interpretation of findings inappropriately, should discuss this with the Associate Dean (Research) so that the matter can be resolved as soon as possible.

1.5   Research participants and their data should usually be anonymised to maintain the confidentiality of participants, be they individuals or organisations, and to comply with Data Protection legislation. However, in some circumstances, participants may give consent for their data not to be anonymised or not to remain confidential. In this case, it is the responsibility of the Researcher to ensure that they maintain written records of consent, and gain approval through the University's Research Ethics Panel.

1.6   Researchers should address issues relating to authorship and publication, especially the roles of all collaborators and contributors, at an early stage in the design of a publication, recognising that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research. Decisions on authorship and publication should be agreed jointly and communicated to all members of the research team. A record should be made of any discussions. Early drafts of papers should include authorship and other credits to help resolve any future disputes. See COPE (opens new window)[2] guidelines for more information.

1.7   Authorship should be restricted to those contributors and collaborators who have made a significant intellectual or practical contribution to the work. No person who fulfils the criteria for authorship should be excluded from the submitted work. Authorship should not be allocated to honorary or 'guest' authors (i.e., those that do not fulfil criteria of authorship). Researchers should be aware that anyone listed as an author of any work should be prepared to take public responsibility for that work and ensure its accuracy and be able to identify their contribution to it. See CRediT – Contributor Roles Taxonomy (niso.org) (opens new window).

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[2] Committee on Publication Ethics (Cope) (no date) 'Authorship and contributorship: Guidelines' [online]. Available at: https://publicationethics.org/authorship (opens new window) [accessed 26 July 2023].

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The following links may also be of use:

- [https://www.merit.help/ (opens new window)](https://www.merit.help/) Guidance for

- [AI in Authorship and AI Tools (opens new window)](#).

1.8   Whilst there are many ways of determining the order of authorship across disciplines, research groups, journals, and countries, for example, in alphabetical order, the University encourages placing the researcher who took the lead in writing the publication as lead author, followed by authorship order of contribution.

1.9   Where a researcher is deceased prior to submission of the output, reasonable efforts should be made to obtain consent from the researcher's estate and/or the status of the author should be noted in the publication.

1.10   Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section. All funders and sponsors of research should be clearly acknowledged.

1.11   Researchers must clearly acknowledge all sources used in their research and seek permission from any individuals if a significant amount of their work has been used in the publication.

1.12   Researchers must adhere to any conditions set by the funder and/or other bodies regarding the publication of their research and its findings in open access repositories within a set period.

1.13   University researchers are required to upload a copy of the publication, adhering to any publishing conditions, to the University's Institutional Repository as appropriate - [Welcome to University of the Built Environment Repository - University of the Built Environment Repository (opens new window).](#)

1.14   Researchers should declare any potential or actual conflicts of interest in relation to their research when reporting their findings at meetings or in publications.

1.15   Researchers should be aware that submitting research outputs to more than one potential publisher at any given time (i.e., duplicate submission) or publishing findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications (i.e., duplicate publication) is unacceptable.

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1.16   Researchers must accurately reflect the institutional affiliation (i.e., the University) in all research publications in accordance with:

a)   where they were engaged or employed when they undertook their major contribution to the research and/or its output;

b)   which institution and/or manages the intellectual property rights; and

c)   which institution provided the resources to the researcher or research.

Researchers may also list multiple affiliations where this is an accurate reflection of the above criteria.

1.17   Researchers must obtain the necessary written permission to reproduce any copyrighted material owned by a third party. This includes, but is not limited to, any text, illustration, table, or other material, including data, audio, video, film stills, screenshots, musical notation, and any sound recording. Any use of third-party owned materials must be fully attributed and not impinge upon the moral rights of the author. Reproduction of short extracts of text and some types of material may be permitted as fair dealing, not requiring written permission, on the basis that the materials are reproduced and allowed only if:

- The purpose of the use is non-commercial research and/or private study.

- The use of materials is fair.

- The use is made by researchers or students for their own use only.

- Researchers give full acknowledgement/attribution to the copyright holder.

Note: Copyright Terms and Conditions provided within material wishing to be used must be adhered to.

1.18   Researchers must not breach any copyright. When reproducing tables, figures and/or schemes from previous publications; it is the researchers' responsibility to seek appropriate permission from the relevant publishers. Researchers should ensure that no contractual relations or proprietary considerations exist that would affect the publication of information in a submitted manuscript.

1.19   In terms of accountability:

a)   Each researcher listed as an author is directly responsible for the accuracy and integrity of their respective contribution to the output.

b) All listed authors are collectively accountable for the accuracy and integrity of the whole research output.

c) All listed authors must collectively ensure that all relevant ethics and compliance requirements and copyright have been met during the conduct of the research and prior to publication.

d) Any researcher who is unwilling to be accountable for their individual contribution and the collective contribution of all authors of the research output should not agree to, or be listed as, an author.

e) If an author is deceased (or cannot be contacted after reasonable attempts have been made), all remaining co-authors must continue to retain confidence in the accuracy and integrity of the author's contribution.

f) Following publication, all authors must ensure that they appropriately respond to any concerns about the accuracy or integrity of any part of the research output. This includes providing all necessary evidence to demonstrate the accuracy and integrity of their data, materials or analysis, and if necessary, seek such evidence from the other co-authors. Where necessary, this also includes correcting the public record by way of an erratum or retraction, and co-operating in any processes to resolve such matter.

g) All authors must approve the research output before its submission to a publisher or publication platform. The corresponding author has the primary responsibility for maintaining and retaining records of authorship agreement. Where the author is not from the University, all University-based co-authors are encouraged to keep their own records.

1.20 Authorship and publication disputes between University researchers should be resolved within the research team; the Associate Dean (Research) or Pro Vice Chancellor (Academic) should be contacted for support, as required, or to assist in any resolution.

1.21 Whilst the University strongly encourages co-authorship of publications between staff and students, staff should not co-author research papers with UG/PGT students, whose work they are subsequently likely to assess, as this would lead to a conflict of interest - unless it is part of the assigned assessed work.

Instead, any publication should be made only after the UG/PGT student's conferment of final award , and where there is no active appeal process in place, or opportunity to appeal.

1.22   PGR students are able to co-author with their supervisory team and other staff throughout the duration of their study and thereafter graduation.

1.23   This Policy should be used in conjunction with other University Policies including but not limited to:

    a)   Intellectual Property (IP) Policy

    b)   Data Management Policy

    c)   Code of Conduct for Research

    d)   Research Ethics Approval Policy

    e)   Research Misconduct Procedure

    f)   Copyright Policy.

    g)   [Open Access Policy (opens new window).](#)