NEWCASTLE UNIVERSITY

ATTRIBUTION OF AUTHORSHIP GUIDELINES

Introduction:
Newcastle University is committed to promoting a positive and inclusive research culture based on the principles of research integrity, openness and transparency. The aim of these guidelines is to promote good practice in authorship through open research practices and encouraging early conversations with collaborators to achieve consensus and avoid disputes at a later date. Good authorship practice also supports the career development of University students and colleagues through recognition of their contributions to research outputs.

Scope:
These guidelines apply to all peer-reviewed research outputs (journal articles, conference proceedings, book chapters, monographs, edited works, reports, composition, etc.) where the lead – or corresponding – author is a registered Newcastle University student or employee. In the context of these guidelines, the term 'researcher' may apply to undergraduate or postgraduate students, academic, research, technical or other Professional Service colleagues. The guidelines may also be used as a framework for managing discussions with research collaborators at other universities.

General principles of good practice:

- **Early conversations** – authorship attribution should be discussed by the research team at an early stage alongside the proposed dissemination plans and discussions around copyright retention. Please refer to the University's Policy on Research Publications and Copyright for more information. A list of external resources to guide discussions is also provided at Appendix 1. In the interests of openness and transparency, decisions should be mutually agreed as part of a statement of authorship. Any subsequent revisions should be formally documented and communicated to all parties.
- **Author list** – when multiple indivudlas are to be listed as authors, research teams are responsible for deciding who should be listed as an author and the order in which they are listed. However, these decisions should be made in a fair and transparent way, which ensures that significant contributions to the research project are properly acknowledged. A definition of what constitutes a 'significant contribution' is provided at Appendix 2, based on the Contributor Roles Taxonomy (CRediT). This should include the contributions of technical and other Professional Services colleagues where appropriate.
- **Acknowledgements** – other important contributions should be listed in an acknowledgements section. Researchers should also check funder expectations regarding acknowledgements.
- **Notifying contributors** - co-authors should be given the opportunity to review and make amendments to the text ahead of publication. This is a pre-requisite of many journals. It is also considered good practice to notify any individuals listed in the acknowledgments ahead of publication, as their inclusion could be regarded as an endorsement of the published work.
- **Gifting** – authorship should not be "gifted" to any individual who did not contribute to the project (see Appendix 2).
- **Plagiarism** – plagiarism is defined as the use of the work of others without acknowledgement. This covers ideas, words, data, designs, images, music and computer code.   While plagiarism can be intentional, often it is unintentionally caused by poor academic writing, inaccurate notetaking or incorrect referencing. All references to published works should therefore be properly cited. Further guidance is available on the University's Good Academic Practice webpage.
- **Conflicts of Interest** – researchers are responsible for declaring any conflicts of interest that may compromise the integrity of the research. This would include, but not be limited to, close personal relationships, financial interests, external employment or consultancy work.

- **Affiliation** – authors must list their institution as Newcastle University UK. Correct affiliation will ensure corresponding authors benefit from Open Access publishing agreements between publishers and the University. For more information refer to the University's Open Access Policy Statement. The corresponding author will also usually be required to provide a valid email address for communications. This can either be a University email (@ncl.ac.uk) or personal email address. The University also recommends that researchers include their Open Research and Contributor ID (ORCID) to support the visibility and portability of their research outputs. Researchers can register for free via the ORCID webpage.
- **Data archiving and sharing** – a data access statement should be included in the publication detailing where and how data can be accessed, even when there is no underpinning data. In accordance with the principles of FAIR (Findable, Accessible, Interoperable, Reusable) research data, the corresponding author is responsible for ensuring that the underpinning data is archived in an appropriate repository or data centre. The University has created an open data repository for this purpose: data.ncl. Please contact the Research Data Service for support and advice: rdm@ncl.ac.uk.
- **Corrections** – corresponding authors are responsible for notifying the Library of any corrections to the published version of record.

Discipline specific variations:

These guidelines are based on general principles of good practice. However, the University acknowledges that different kinds of output may require different attribution practices and that different journals have adopted different publication practices regarding who can be listed as an author and the order in which they are listed. It may therefore be appropriate for Schools and Research Institutes to develop their own operational protocols. Local authorship guidelines should be developed in consultation with the relevant communities and approved by the relevant Faculty Research and Innovation Committee.

Process for managing disputes:

Where possible, authorship disputes should be resolved informally in discussion with the lead author or Principal Investigator of the research project. Formal support is also available by contacting the Research Integrity and Governance Manager (research.integrity@ncl.ac.uk), who will liaise with internal and external stakeholders to agree a resolution in accordance with the University's Code of Good Practice in Research and the Committee on Publication Ethics (COPE) guidelines.

Related policies:

These guidelines should be considered alongside the following University policies, processes and frameworks

- Code of Good Practice in Research
- Open Access Policy Statement
- Open Research institutional position statement
- Policy on Research Publications and Copyright
- Research Data Management Policy and Code of Good Practice
- Investigating Allegations of Research Misconduct Policy and Procedure
- Newcastle University Technicians Commitment Framework

APPENDIX 1: External resources

- Academy of Management: Code of Ethics
- British Educational Research Association: Ethical Guidelines for Educational Research
- British Sociological Association: Authorship Guidelines
- Co-authorship in Humanities and Social Sciences
- Committee on Publication Ethics
- Council of Science Editors: Publication Ethics
- CRediT – Contributor Roles Taxonomy
- International Committee of Medical Journal Editors: Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals
- Nature Journals Authorship Policy
- UKRIO Guidance Note: Good Practice in Research: Authorship

APPENDIX 2: Authorship Criteria

The following criteria is adapted from the Contributor Roles Taxonomy (CRediT).

a)   Authors

Any individual who has made a significant contribution to the project should normally be included in the list of authors. A significant contribution can be made in one or more of the following ways:

Conceptualization	Ideas; formulation or evolution of overarching research goals and aims.
Data curation	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.
Formal analysis	Application of statistical, mathematical, computational, or other formal techniques to analyse or synthesize study data.
Investigation	Conducting a research and investigation process, specifically performing the experiments, or data/evidence collection.
Methodology	Development or design of methodology; creation of models.
Software	Programming, software development; designing computer programs; implementation of the computer code and supporting algorithms; testing of existing code components.
Supervision	Oversight and leadership responsibility for the research activity planning and execution, including mentorship external to the core team.
Validation	Verification, whether as a part of the activity or separate, of the overall replication/reproducibility of results/experiments and other research outputs.
Visualization	Preparation, creation and/or presentation of the published work, specifically visualization/data presentation.
Writing – original draft	Preparation, creation and/or presentation of the published work, specifically writing the initial draft (including substantive translation).
Writing – review and editing	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.

b) **Acknowledgements**

Additional contributions are usually recorded in the list of acknowledgments. Additional contributions are defined as:

Funding acquisition	Acquisition of the financial support for the project leading to this publication.
Project administration	Management and co-ordination responsibility for the research activity planning and execution.
Resources	Provision of study materials, reagents, materials, patients, laboratory samples, animals, instrumentation, computing resources or other analysis tools.

Approved by University Research and Innovation Committee
Date: 13th December 2022