

Report



Proposed Authorship and Acknowledgement Guidelines for CLOSER

CLOSER Executive

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Introduction

As an inter-disciplinary programme with a number of different work packages, CLOSER needs to agree a convention for listing authorship of its publications which meets the needs of researchers from social and medical sciences.

This briefing sets out a suggested protocol for papers produced as a result of the CLOSER funding for consideration by the CLOSER Executive who, once in agreement, will circulate the guidelines to the wider CLOSER consortium.

As part of the process of demonstrating the value of CLOSER to funders and the wider research community it is important that all publications produced as a direct or indirect result of the CLOSER programme are easy to identify and catalogue or enumerate. To facilitate this, all data sets that result from data harmonisation and data linkage undertaken as part of CLOSER will have a Digital Object Identifier (DOI) and researchers using the data will be strongly encouraged to quote this DOI in all publications using the data.

Datasets of harmonised and linked data will be archived at the UK Data Service, University of Essex and be made available to researchers under the appropriate license. As per standard UKDS policy, when researchers download datasets produced as part of CLOSER, UKDS will include an information file that outlines the importance of quoting the DOI in all publications using the data and to acknowledge that the data was produced as part of the CLOSER programme. The UKDS is exploring whether this information might be reinforced by an automatic email reminding the user of these commitments.

General rules of authorship

1. The collaborative nature of CLOSER means that it is important that the leadership team are aware of any publications that are planned or in progress as part of the work of the separate work packages. This allows for individuals with specific expertise that could be of relevance to the paper to offer to be involved in the planning and drafting process. The regular progress reports on work packages ask WP leads to note any planned papers and papers in progress. In future these will be highlighted more explicitly as part of the update at the beginning of the leadership team meeting.
2. Responsibility for (a) drafting, (b) analysis and (c) in depth comments/interpretation/supervision of paper to be rewarded with authorship in line with the journal's guidelines for ordering of authors with the additional provisos:
 - i) A named representative (or representatives) of the Work Package to be offered co-authorship on all papers using CLOSER harmonised or linked datasets *for the duration of the relevant Work Package (see Appendix I).*

- ii) 'on behalf of the CLOSER consortium' should be on all papers written by members of the CLOSER consortium and using any CLOSER harmonised or linked datasets for the initial CLOSER grant (i.e. until end Sept 2017)
 - iii) A list has been compiled of all the members of the CLOSER consortium. This includes all those on researchers/academics who are at least part funded under the CLOSER programme i.e. it includes all those on the leadership team, and all those working on the individual work packages but does not include administrative, communications or project management staff.
 - iv) All members of the CLOSER consortium will be strongly encouraged to register under ORCID for a unique researcher identifier (<http://orcid.org/about>). This will make it easier automatically to link researchers to datasets and to outputs.
3. Attempts to get the journals to agree joint first and last authors will be made where appropriate
 4. It is important to be transparent and explicit and to agree authorship of papers in writing at the earliest opportunity

The above rules are suggested to accommodate the difference in number of co-authors generally listed on medical as opposed to social science publications.

Guidelines on Acknowledgements

Each paper using any harmonised or linked data produced as a result of the CLOSER programme should acknowledge the funder and quote the grant reference number e.g.:

'Acknowledgements

This project is part of a collaborative research programme entitled 'Cohorts and Longitudinal Studies Enhancement Resources' (CLOSER). This programme is funded by the ESRC grant reference: ES/K000357/1. The funders took no role in the design, execution, analysis or interpretation of the data or in the writing up of the findings.'

Note that data managers or other members of individual study teams who have provided assistance in accessing, understanding or managing data should also be acknowledged.

Appendix I: Work Package Titles, Leads and Dates

Work packages	Lead person	Dates
WP1: Data harmonisation of measures of biological function and structure across the cohorts (2 yrs)	Rebecca Hardy (LHA) r.hardy@ucl.ac.uk	March 2013 – February 2015
WP2: Data Harmonisation: Socio-economic resources (incl. education) (2 yrs)	Claire Crawford (IFS) claire_c@ifs.org.uk Anna Vignoles (Cambridge) av404@cam.ac.uk	April 2013 – March 2015
WP3: Harmonisation of strategies for analysing biological samples (18 months)	Sue Ring (Alspac, Bristol) S.M.Ring@bristol.ac.uk	July 2014 – June 2016
WP 4: Harmonising measures of senses and behaviours (2 yrs)	Jugnoo Rahi (ICH) j.rahi@ucl.ac.uk	June 2014 – May 2016
WP5: Linkage to Administrative and educational data (IOE Lead) (2 yrs)	Lorraine Dearden (IOE) l.dearden@ioe.ac.uk	September 2014 – August 2016
WP6: Linkage to geographical data (2 yrs)	Chris Dibben (St Andrews) cjld@st-andrews.ac.uk	October 2012 – September 2014
WP7: Linkage to Health data - Hospital episode statistics (2 yrs)	Amanda Sacker (UCL) a.sacker@ucl.ac.uk	January 2013 – September 2015

Appendix II: Examples of guidelines on allocating authorship from a few different journals/professional associations

British Sociological Association (http://www.britsoc.co.uk/publications/guidelines-reports/authorship-guidelines.aspx#_attr)

Order of Authors

1) *The person who has made the major contribution to the paper and / or taken the lead in writing is entitled to be the first author*

2) *Decisions about who should be an author, the order of authors and those included in the acknowledgements should usually be made by the first author in consultation with other authors.*

3) *Those who have made a major contribution to analysis or writing (i.e. more than commenting in detail on successive drafts) are entitled to follow the first author immediately; where there is a clear difference in the size of these contributions, this should be reflected in the order of these authors.*

4) *All others who fulfil the criteria for authorship should complete the list in alphabetical order of their surnames.*

5) *If all the authors feel that they have contributed equally to the paper, this can be indicated in a footnote.*

Social Science and Medicine (under the umbrella of Elsevier)

(http://www.elsevier.com/_data/assets/pdf_file/0003/183351/ETHICS_AUTH01a_updatedURL.pdf)

The following are some general guidelines, which may vary from field to field:

The order of authorship should be "a joint decision of the coauthors".

Individuals who are involved in a study but don't satisfy the journal's criteria for authorship, should be listed as

"Contributors" or "Acknowledged Individuals". Examples include: assisting the research by providing advice, providing research space, departmental oversight, and obtaining financial support

Health Policy and Planning (http://www.oxfordjournals.org/our_journals/heapol/for_authors/)

All persons designated as authors should qualify for authorship. The order of authorship should be a joint decision of the co-authors. Each author should have participated sufficiently in the work to take public responsibility for the content. Authorship credit should be based on substantial contribution to conception and design, execution, or analysis and interpretation of data. All authors should be involved in drafting the article or revising it critically for important intellectual content, must have read and approved the final version of the manuscript and approve of its submission to this journal.

American Psychological Association (<http://www.apa.org/research/responsible/publication/>)

Authorship credit should be the individual's contribution to the study. An author is considered anyone involved with initial research design, data collection and analysis, manuscript drafting, and final approval. However, the following do not necessarily qualify for authorship: providing funding or resources, mentorship, or contributing research but not helping with the publication itself. The primary author assumes responsibility for the publication, making sure that the data is accurate, that all deserving authors have been credited, that all authors have given their approval to the final draft, and handles responses to inquiries after the manuscript is published.

International Committee of Medical Journal Editors

<http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>

Who Is an Author?

The ICMJE recommends that authorship be based on the following 4 criteria:

Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND

Drafting the work or revising it critically for important intellectual content; AND

Final approval of the version to be published; AND

Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

In addition to being accountable for the parts of the work he or she has done, an author should be able to identify which co-authors are responsible for specific other parts of the work. In addition, authors should have confidence in the integrity of the contributions of their co-authors.

All those designated as authors should meet all four criteria for authorship, and all who meet the four criteria should be identified as authors. Those who do not meet all four criteria should be acknowledged—see Section II.A.3 below. These authorship criteria are intended to reserve the status of authorship for those who deserve credit and can take responsibility for the work. The criteria are not intended for use as a means to disqualify colleagues from authorship who otherwise meet authorship criteria by denying them the opportunity to meet criterion #s 2 or 3. Therefore, all individuals who meet the first criterion should have the opportunity to participate in the review, drafting, and final approval of the manuscript.

Non-Author Contributors

Contributors who meet fewer than all 4 of the above criteria for authorship should not be listed as authors, but they should be acknowledged. Examples of activities that alone (without other contributions) do not qualify a contributor for authorship are acquisition of funding; general supervision of a research group or general administrative support; and writing assistance, technical editing, language editing, and proofreading. Those whose contributions do not justify authorship may be acknowledged individually or together as a group under a single heading (e.g. "Clinical Investigators" or "Participating Investigators"), and their contributions should be specified (e.g., "served as scientific advisors," "critically reviewed the study proposal," "collected data," "provided and cared for study patients", "participated in writing or technical editing of the manuscript").

Because acknowledgment may imply endorsement by acknowledged individuals of a study's data and conclusions, editors are advised to require that the corresponding author obtain written permission to be acknowledged from all acknowledged individuals.

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