i-CONN policy on the ownership and authorship of outputs including publications and datasets.

The policy relates to any formal research outputs: research papers and articles, conference talks, posters and associated conference proceedings, datasets, and other formal output such as software and models. Please note that there is formal legal information about Intellectual Property Rights in the Grant and Consortium Agreements.

General Good Practice

It is good practice for all research teams (including PhD projects) to discuss issues of authorship, ownership and publication strategy at an early stage of the research.

There should be a discussion amongst potential authors prior to any paper being commenced, and the proposed authorship of a paper be reconsidered (and changed if appropriate) prior to submission so that the authorship of the submitted paper properly reflects actual contributions to the paper.

Criteria for Authorship

Except in certain well-justified situations, authors should meet all the following four criteria[1]:

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

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

iii) Final approval of the version to be published; AND

iv) 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. An exception to this requirement may apply where two or more highly specialised domains of expertise are involved, as may well be the case in some of the iCONN projects. In this case an author may contribute in a critical way only in either the domain expertise or the specialized technical knowledge that is critical for the work.

As all four criteria need to be meet it is important that anyone who has made a significant contribution to the research is given the opportunity to draft and revise the paper and to approve the final version.

An exception may exist where data has been generated by an external consortium. Regulations internal to other consortia that may stipulate that the entire list of responsible persons for the data must be given authorship even when their involvement in the specific reanalysis of the data has been very limited. In this case additional authors may be required and it would not be reasonable to expect them to be fully involved in the preparation of the manuscript.

All authors listed on a paper must agree to be included as an author. It is not acceptable to include a person as an author without their explicit permission.

Contributors who meet fewer than all 4 of the above criteria for authorship should not be listed as authors, except for the special case described in (iv), but they should be acknowledged along with a description of their contribution.

All authors should be able to take public responsibility for the work and should have full confidence in the accuracy and integrity of the work of other group authors.

Failing to include as authors all the people who significantly contributed to a paper is also unacceptable.

It is good practice to have, for each paper submitted, a signed statement about authorship which is kept on file. This statement establishes that each author agrees to be named as author, that they take responsibility for the paper, and indicates the extent of contribution of each author.

Order of Authors & Corresponding Author

The person who is primarily responsible for the paper (normally contributing the most) should be first author, unless there is a disciplinary expectation that the lead author is named last. Although there are many ways of contributing to a paper – including conception of the research, experimental design or research design, data acquisition, data analysis, and interpretation of data, publication and authorship is still largely about the act of writing the paper.

It is normally expected that the order of authorship should reflect the proportion of contribution. In many disciplines the last author represents the most senior, predominantly supervisory role.

However, when agreed by the authors themselves, alphabetical or random orderings are possible when the extent of contribution across authors is similar.

Best practice involves early discussion about the approach that will be taken for each publication/output.

Corresponding author: The corresponding author is the one person who takes primary responsibility for communication with the journal during the manuscript submission, peer review, and publication process. The corresponding author should be available throughout the process, including coordinating responses to answer questions after publication.

Additional information for publications involving PhD students

Since a PhD is a guided process, and because supervisors have specific responsibilities to the student and professional obligations to academia, no student is to submit any paper (related to the PhD and/or that indicates their institution as their affiliation) to any academic journal without having the explicit approval of their supervisor to do so. Likewise, a student should not submit a conference abstract for consideration or publish a dataset or other output without approval.

Providing that all named authors qualify for authorship (see above), it is reasonable that a student's supervisor(s) and other network/non-network members are named on publications if they have

been significantly involved in the research activities and methods leading to the results obtained by that PhD student in the specific publication(s). This should include the inclusion of appropriate authors from the host organisation where a paper includes research that has been obtained during a secondment.

Network "overview" papers

Anyone wishing to write a network overview paper, or paper integrating methods or results from across the network, should first indicate their intention to the Management Board, which will enable coordination of lead co-authors and avoid overlap between potential papers. The Management Board will circulate the intention to produce the paper, so that any conflicts with ESR-led publications can be identified and so that all network members can be invited to contribute to the paper. Once a draft paper is produced, it should be circulated to all members of i-Conn with a request for comments, and an indication of whether the member wants to opt *out* of authorship on the publication. The default of including everyone is that it is not straightforward to identify who originated the ideas from these common papers, which may have arisen from discussion in formal or informal contexts in network meetings.

Data publications

We will produce data publications with DOIs, and for these publications, the same criteria for authorship and inclusion should be considered as above. Network members should take particular care to provide metadata as to who produced and processed data, and to use version control to be able to identify any issues that may arise following the data publication.

Affiliations and acknowledgement of funder

All authors should correctly list their organisation according to the policy at their institution and all publications should correctly credit i-CONN i.e. *This project has received funding from the European Union's Horizon 2020 research and innovation programme under the Marie Skłodowska-Curie grant agreement No 859937.*

Completed publications

On acceptance of a paper, the corresponding author should forward a copy of the letter of acceptance AND the final accepted manuscript (pre-typesetting) to all co-authors so that they can take steps to place copies in institutional repositories.

Please send bibliographic details, including the DOI, and a pdf of published papers to the Project Manager so that we can share them with network members, include them in reports to the EU, and make them accessible via our website. In the case of datasets, the pdf should just be the summary of the overview information and metadata.

Each paper that is generated by i-CONN will be listed on the i-CONN website and a fuller comment on the authorship contributions and exceptions to the general rule can be added if required.

Disagreement Procedure

Should there be any disagreement in the procedures noted above, the concerned party/ies should raise the issues with the Project Manager in the first instance, who will pass them on to the Management Board for consideration at the earliest possible opportunity.

References & Resources:

1. http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html
2. Transparency in authors' contributions and responsibilities to promote integrity in scientific publication, PNAS March 13, 2018 115 (11) 2557-2560. https://www.pnas.org/content/115/11/2557
3. https://www.nature.com/nature-research/editorial-policies/authorship