The University of Auckland
Faculty of Science
School of Environment (ENV)

Authorship and Acknowledgement Guidelines

Preamble

This document establishes a framework for proper attribution of credit by co-authorship and/or acknowledgement to those that have contributed to research in the School of Environment. These guidelines set out the responsibilities and principles that researchers and lab facility users are expected to adhere to when conducting research. The fundamentals of these guidelines are based on The University of Auckland Equity Policy as well as internationally recognised and adopted authorship and acknowledgement guidelines and codes for responsible research conduct. The principles and guidance contained within are meant to apply to all intellectual products produced in the School of Environment whether or not they are published externally or prepared for internal use.

Compliance with the guidelines contained within this document are required in order to use and access the resources, facilities, instrumentation, and personnel of the ENV Technical Services Team.

Purpose

i. The purpose of this document is to:
    1. Provide guidelines for proper acknowledgement and/or co-authorship to the people and facilities that have made significant contributions to the research conducted in ENV labs and facilities.
    2. Assist researchers in adhering to responsible code of conduct principles and responsibilities such as those laid down in applicable Australasian Professional Standards and Ethics codes referenced at the end of this document.

ii. Furthermore, this guide aims to lay out the authorship and acknowledgement policies for the School of Environment that recognise the significant intellectual and scientific contribution to research outputs from **ALL** individuals associated with research conducted in the School.

iii. Implementation of these guidelines provides for a transparent and ethical approach to authorship and acknowledgement in research publication, regardless of where and how the research is published or disseminated.

iv. This guidance applies to all documents and outputs relating to research.

Scope

A. The guidelines in this document apply to all researchers, students, faculty, and staff who access and use ENV labs and facilities, regardless of the School or Department with which they are primarily affiliated.

B. It is the responsibility of all research team members, but primarily the Principal Investigator (or corresponding author), to ensure adherence and compliance to these principles and guidelines.

Authorship Criteria

Authorship conventions vary across disciplines, journals, and institution; however, the minimum threshold for authorship for significant intellectual or scholarly contributions must include the following criteria.

An author an individual who:

A. Has made a significant contribution to research and its output. Significant contribution includes one or more of the following areas:
    1. The concept or design of the work and/or new sample preparation protocol; OR
    2. The acquisition, processing and/or transformation of research data where the acquisition has required significant intellectual judgment, planning, design, or input; OR
    3. Contribution of knowledge, where justified, including indigenous knowledge; OR
    4. The analysis and interpretation of research data; OR
    5. The creation of new software used in the work; OR
    6. Have drafted the work or substantively revised it; AND

B. Has approved the submitted version and any substantially modified version that involved the author's contribution to the study; AND

C. Has agreed to take public responsibility for the author's own contribution and to ensure that questions related to the accuracy or integrity of the part of the output in that individual's area of expertise are appropriately investigated and resolved.

Any individual who meets the criteria in Part A of this section ***must*** be given the opportunity to fulfil Parts B and C unless deceased or medically rendered incapable of complying.

Technical staff, junior researchers, and students who have made significant contribution and meet the above criteria are entitled to authorship regardless of their job title or level of supervision required.

Prohibited Authorship Practices

The following are authorship practices prohibited by internationally agreed authorship guidelines (see references):

A. Gift Authorship*
B. Orphan Author*
C. Ghost Author*
D. Guest/Honorary Author*

** See Glossary for definitions*

Acknowledgement Criteria

Any contribution to research that does not meet the Authorship Criteria must be acknowledged. Acknowledgement is often a paragraph or more written by the authors of a research output to recognise and thank other individuals and organisations for their contribution to the research.

The Acknowledgement Criteria are:

A. Any contributions from individuals providing routine technical support that does not meet the Authorship Criteria must be included in the appropriate acknowledgement section of the research output;

B. Recognition of the contribution of research infrastructure (including labs and facilities, and The University of Auckland) used during the course of the research project;

C. Any individual to be included in the acknowledgement section of a research output must be informed of their inclusion;

D. Individuals who contributed to research retain the right to be excluded from a research output, since acknowledgment may imply the contributing individuals' endorsement of the research;

E. Recognition of Funding and support organisations. All provisions in relevant funding documents must be followed to ensure proper acknowledgment.

Responsibilities of Researchers

Researchers must:

A. Ensure that all authors of research outputs are properly recognised and are those who, regardless of position (e.g. technical staff, student, junior researcher, etc.) or any change to their position or role:
    1. Have made a significant intellectual and or scholarly contributions to research and any outputs;
    2. Have agreed in writing (or email) to be listed as an author;

3. Have agreed in writing (or email) to the order of authors on the publication.

B. Alert other authors to any contributor or author who may have been inadvertently omitted;

C. In cases of multiple authors, sign an Authorship Statement, which captures A (1) – (3) above;

D. Make and maintain a record, during the course of each research project, of individuals who contribute to the research in order to ensure those individuals entitled to authorship of research outputs are included;

E. Adhere to good laboratory practices including maintaining an accurate laboratory notebook in order to aid in identifying and clarifying individuals' contributions;

F. Manage and retain all records, primary materials, and research data according to The University of Auckland Data Retention Policy and FAIR Guiding principles for scientific data management and stewardship

G. Acknowledge and cite any individuals (with their permission) who have contributed to the research but do not meet the Authorship Criteria above;

H. Acknowledge the contribution of any research infrastructure used during the course of research;

I. Acknowledge funding bodies in a manner consistent with any description in the relevant funding agreement;

J. Have an ORCID linked to their University profile and included in all publications;

K. Ensure all members of a research team have access to this guideline document.

Glossary

Author	An individual who has made a significant intellectual or scholarly contribution to research and its output, agreed to be listed as an author, and is willing to take accountability.
Ghost Author	Authors who contributed to the work but are not listed, generally to hide a conflict of interest from editors, reviewers, and readers.
Gift/Guest/Honorary Author	Authors who have not met the authorship criteria but are attributed solely on the basis of: • provision of funding, materials, infrastructure • an individual's profession or position such as a contributing author's supervisor or head of department • a person's stature or reputation whose addition would elevate the esteem of the research.
Orphan Author	Authors who contributed materially to the work but are not given the opportunity to fulfil all authorship criteria or are omitted from the author list unfairly.
Research	The concept of research includes the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions, and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.
Research Output	Findings of research made available or communicated. Examples of research outputs include journal articles, book chapters, books, conference papers, reports, datasets, data releases, patents and patent applications, performances, videos, exhibitions, etc.
Researcher	A person or persons who conducts or assists with the conduct of research, is willing to be accountable for their contribution and agree to be listed as an author.

References

These guidelines are adopted from the following sources:

i. Royal Society Te Apārangi: Code of Professional Standards and Ethics in Science, Technology, and the Humanities 2019: https://www.royalsociety.org.nz/who-we-are/our-rules-and-codes/code-of-professional-standards-and-ethics
ii. NHMRC and Universities Australia: Australian Code for the Responsible Conduct of Research 2018: https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018
iii. NHMRC and Universities Australia: Authorship - a guide supporting the Australian Code for the Responsible Conduct of Research: https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018

iv. McNutt et al., 2018, Transparency in authors' contributions and responsibilities to promote integrity in scientific publication. Proceedings of the National Academy of Sciences of the United States of America (PNAS). 115 (11) 2557-2560. https://doi.org/10.1073/pnas.1715374115
v. Defining the Role of Authors and Contributors; International Committee of Medical Journal Editors (ICMJE): http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html
vi. The Committee on Publication Ethics (COPE): https://publicationethics.org/
vii. CRediT – Contributor Roles Taxonomy: https://casrai.org/credit/
viii. Harvard University FAS and SEAS Guidelines on Authorship and Acknowledgement, 2019: https://research.fas.harvard.edu/links/guidelines-authorship-and-acknowledgement
ix. National Academies of Sciences, Engineering, and Medicine 2017. Fostering Integrity in Research. Washington, DC: The National Academies Press. https://doi.org/10.17226/21896.
x. Acknowledgements and Co-authorship Policy for the CECAD Facilities: https://www.cecad.uni-koeln.de/fileadmin/user_upload/Citation_Guidelines_Acknowledgement.pdf
xi. Royal Microscopical Society Core Facilities Publication Policy: https://www.rms.org.uk/resources-downloads/core-facilities-publication-policy.html
xii. FAIR Guiding Principles for scientific data management and stewardship: https://www.nature.com/articles/sdata201618; https://www.go-fair.org/fair-principles/
xiii. The University of Auckland Code of Conduct for Research 2015: https://cdn.auckland.ac.nz/assets/central/about/the-university/how-the-university-works/policy-and-administration/code-of-conduct-research.pdf
xiv. The University of Western Australia Research Integrity Policy: https://www.uwa.edu.au/policy/home
xv. Deutsche Forschungsgemeinschaft Guidelines for Safeguarding Good Research Practice 2019: https://www.dfg.de/en/research_funding/principles_dfg_funding/good_scientific_practice/
xvi. International Science Council Freedoms and Responsibilities in Science: https://council.science/what-we-do/freedoms-and-responsibilities-of-scientists/ethical-responsible-conduct/