iUTAH Project Authorship Policies[1]

The following principles of ethical professional conduct apply to the publication of professional papers and datasets as part of the iUTAH project. This document is meant to complement the iUTAH data management policy.

General guidelines:
1) As primary author, be inclusive.
2) As a potential coauthor, honestly consider your contribution and only accept co-authorship if warranted.
3) Discuss authorship early, often, and openly.
4) Like papers, datasets can be collaborative research products with multiple authors. Determining authorship of datasets should be done in the same manner.

Primary author: Be very inclusive in listing potential coauthors on the first draft of the manuscript or, for datasets, in the Data Collection Plan. Consider as potential coauthors anyone involved in the design of the study, collection of data, analysis of the results, writing of the paper manuscript, or securing funding for the study. The inclusive list of potential authors should be guided by early, often, and open discussion. For papers, we suggest sending an early outline of the paper, with the preliminary results, and have potential co-authors add their name to the cover sheet if they want to be co-authors. For datasets, we suggest early and wide distribution of the Data Collection Plan (see the iUTAH Data Policy document for a description of Data Collection Plans).

Coauthors: Each potential coauthor is expected to review the manuscript or dataset, provide any comments they may have, and explicitly state to the lead author that they accept or decline authorship (see criteria below). If you feel that someone else should be added to the author list, send this information to the primary author. Potential co-authors should acknowledge receipt of the draft manuscript or dataset and note whether they wish to be included as an author within a reasonable period set by the primary author (e.g., 2-3 weeks). If they do not respond in this time and after the PI has made a reasonable effort to contact them (e.g., follow-up e-mail and phone call), then they will be omitted as an author so that publication of the manuscript or dataset can proceed.

Criteria for accepting authorship: Researchers will claim authorship of a paper or dataset only if they have made a substantial contribution. Authorship may legitimately be claimed if researchers did one or more of the following:
1) Made a significant intellectual contribution to the conceptualization and design of the research.

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[1] Adapted from published policies used in the Coweeta LTER, Southern Sierra CZO, and the journal PLoS.

2) Provided leadership in the collection or analysis of data and samples.
3) Actively participated in the analysis of data.
4) Participated in preparing a manuscript by either writing or providing substantive input (extensive comments, figures, etc.).
5) Actively participated in processing of data, including quality control, aggregation, or other transformations that add substantive value to a dataset.

In addition, all authors should be able to explain and defend the methods and results in a paper or dataset and should generally agree with them. Therefore, authorship is only accepted when the following conditions apply:
1. An author believes they have made a real contribution to the work.
2. An author can defend the work.
3. An author is actively involved in the process of writing or critically reviewing the paper. This may be the most important factor.
4. For a dataset, an author contributes to authoring and reviewing the descriptive metadata required for publication of a dataset.

Guidelines on order of authorship: Order of authorship on publications and other data products varies by discipline. Authors should review and adhere to authorship ordering guidelines of the particular journal or product outlet to which the product is being submitted. The corresponding (primary) author should be so indicated. In the absence of requirements or guidelines specified by the outlet, it is recommended that the corresponding author be listed as first author, with subsequent authors listed alphabetically. In some disciplines it is recommended practice to include text to describe contributions of co-authors in the acknowledgements section. For example:

> ROH designed the study, conducted fieldwork, analyzed data, and wrote first draft of the paper. JLT, MAB, and EJR-M designed the study, conducted fieldwork, and wrote the paper. ERH conducted field and lab work and wrote the paper.

Submission of Manuscripts and Datasets: Researchers will not add or delete authors from a manuscript or dataset submitted for publication without consent of those authors. All coauthors should have seen and approved a manuscript or dataset prior to submission, and at submission, all coauthors should be sent a copy of the final manuscript and cover letter or dataset. At decision time, the primary author should forward the decision and reviews to all coauthors. The primary author (or corresponding author, if they differ) is responsible for keeping all coauthors fully informed. All co-authors should contribute to responses to peer review.

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iUTAH EPSCoR Program. Any opinions, findings, and conclusions or recommendations expressed are those of the author(s) and do not necessarily reflect the views of the National Science Foundation.

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Other Policies:
- Researchers will not represent research results as new if they have been published or submitted elsewhere, or submit a manuscript for publication while it is under review for possible publication elsewhere.
- When using ideas or results of others in manuscripts submitted for publication, researchers will give full attribution of sources. If the ideas or results have not been published, they may not be used without permission of the original researcher. Illustrations or tables from other publications or manuscripts may be used only with permission of the copyright owner.
- Researchers will not purposefully delay publication of another person's manuscript to gain advantage over that person.
- Researchers submitting manuscripts for publication will promptly report to editors any errors in research results or interpretations discovered after submission or publication.
- iUTAH researchers are encouraged to submit tentative titles of publications and timelines to the Leadership Team so that there are no misunderstandings or conflicts as to who publishes on what particular data set. This is consistent with guidance in the iUTAH Data Policy document. If conflicts do arise, senior PIs will intervene to resolve them.
- For some iUTAH datasets (e.g., the GAMUT data), it may be more appropriate to list a group as the author, with individual people as contributors. The iUTAH data publication system supports this functionality.
- iUTAH participants are encouraged to follow these authorship guidelines for research products other than papers and datasets (e.g., course materials, curricula, white papers, etc.). If there is confusion about how these guidelines would apply or where iUTAH participants believe that these guidelines may not be appropriate, participants should consult with the iUTAH Leadership Team for guidance.

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