

Shogren Lab Authorship Policies

Version 1.1

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Shogren Lab authorship values

We strive to be inclusive of all project participants, to offer junior project members leadership roles on papers, and to freely share our data while protecting publication priority of individual lab members.

General guidelines

1. All products that are the result of progress towards overarching project goals should **offer authorship opt-in** to all project PI's, postdocs, students and other group members (techs) and instructors/mentors.
2. Any individual or group from outside the Shogren Lab member's project that contributes data (and contributes to writing and editing) should be offered authorship.
3. As primary author, be inclusive and take a leadership role on these efforts.
4. As a potential coauthor, honestly consider your contribution and only accept co-authorship if warranted. We do not want to support the proliferation of authorship that is unwarranted.
5. Discuss authorship early, often, and openly. Plans for authorship should be clearly outlined for each project in a co-authorship memo.

6. Papers and products that are enhanced from discussions or training that take place during NSF or DOE funding should include the project in their manuscript acknowledgements.

Types of products

The Shogren Lab is a collaborative research group composed primarily of early-career researchers, including undergraduates and graduate students. As such, we acknowledge the unique importance of publications at this career stage. We anticipate that projects will result in several different mechanisms for disseminating research that requires co authorship agreement. This includes:

- Conference presentations
 - Oral
 - Poster
 - Plenary
- Peer-reviewed products
 - Manuscripts (both data driven and review)
- Educational materials
- Data

Therefore, we plan to produce two different types of products: **component specific** and **multi-component**.

Component-specific

We envision that each PI, post-doc, student, and other lab-affiliated members will lead and/or contribute to specific products from the Shogren Lab. These are defined as **component-specific products**. Some examples of component-specific manuscripts, presentations, and other products include (but are not limited to):

- Directed undergraduate projects (e.g., honors theses)
- Directed graduate student theses & dissertation chapters
- Directed post-doc products

Multi-component

We also recognize that there will be larger efforts that may expand beyond the Shogren Lab itself. These are defined as **multi-component products**. These products generally span across funding mechanisms or are broader in scope than directed projects. Examples of multi-component manuscripts, presentations, and other products include (but are not limited to):

- Data synthesis or modeling efforts (e.g., using both NSF and/or non-NSF sites/data)
- Conceptual or review papers (e.g., Speir et al. 2023)
- Cross-region comparison efforts (i.e., using QuEST, AIMS, etc. data)
- Reflection pieces

Detailed roles for authors & co-authors

Primary author

- The primary author is responsible for being very inclusive in listing potential co-authors on the first draft of the manuscript. The inclusive list of potential authors should be guided by early, often, and open discussion. Consider as potential coauthors anyone involved in the design of the study, collection or provision of data, analysis of the results, writing of the paper, as well as substantial analytical guidance or financial support.
- The primary author will lead the initial outlining, writing/drafting, and editing of a manuscript, including formatting the manuscript for submission to a journal.
- Primary authors are responsible for providing a draft of the manuscript to all coauthors who are interested in reviewing it and providing a final version of the manuscript once it has been submitted.
- The primary author is responsible for leading any major/minor revisions and responding to reviewers upon journal submission, with assistance from coauthors. This includes when Shogren Lab members graduate from the lab. If the manuscript is not published within 2 years of the lab member graduating, Dr. Shogren retains the right to reallocate first authorship.

Coauthors

- Each potential coauthor is expected to make substantial contributions to the manuscript (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 and note whether they wish to be included as an author within a reasonable period set by the primary author (e.g. 1-2 weeks). If they do not respond in this time and after the primary author 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 the manuscript can proceed.

Criteria for co-authorship:

For both component-specific and multi-component, we will follow the Contributor Roles Taxonomy (CRrediT, <https://credit.niso.org/>) framework in identifying roles team members can take in contributing to a manuscript.

Co-authors must fulfill at least **two** of the following criteria to accept authorship:

- 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 reuse
- Formal analysis: Application of statistical, mathematical, computational,

- or other formal techniques to analyze 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
- Project administration: Management and coordination 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
- 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)

In addition to the 2 of the above criteria, **all authors must also fulfill this role:**

- Writing - Review & Editing: **Meaningful** contribution to the 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

All authors should be able to explain and defend the methods and results in the paper and should generally agree with them.

Therefore, one only accepts authorship when one feels like they've made a real contribution to the work, can defend the work, and perhaps most importantly, has (or will make) the time to be actively involved in the process of writing including critically reviewing and editing the paper.

Note: Individuals from outside of the Shogren Lab team that provide datasets critical to project analyses may earn authorship based on those contributions alone. Additionally, individuals providing substantial financial, administrative, or analytical support should be considered for authorship on those merits.

Authors must provide feedback and revisions in a timely manner (e.g., 1-2 weeks). **All co-authors should see and approve a manuscript prior to submission, and upon submission, all coauthors should be sent a copy of the final manuscript and cover letter.** 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 in regard to the progress of the manuscript.