



Authorship, citation and
affiliation guidelines at
Wageningen University & Research



WAGENINGEN
UNIVERSITY & RESEARCH

Contents

Preface	3
1 Guidelines for authorship at Wageningen University & Research	4
2 Citing work of others and plagiarism	5
3 Author affiliations	5

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Preface

This document describes the authorship, citation and affiliation guidelines with respect to publishing research results at Wageningen University & Research. The guidelines are based on the Netherlands Code of Conduct for Research Integrity (2018) and more specific, the sections on reporting results (section 3.4) and assessment and peer review (section 3.5) which constitute the minimum requirements scientists must fulfil when publishing or peer reviewing research results (see text box).

Netherlands Code of Conduct for Research Integrity

The Netherlands Code of Conduct for Research Integrity (2018) has been adopted by the Royal Netherlands Academy of Arts and Sciences (KNAW), the Netherlands Federation of University Medical Centres (NFU), the Netherlands Organisation for Scientific Research (NWO), Associated Applied Research Institutes (TO2 federation), the Netherlands Association of Universities of Applied Sciences and the Association of Universities in the Netherlands (VSNU).

3.4 Reporting results

29. Do justice to everyone who contributed to the research and to obtaining and/or processing the data.
30. Ensure a fair allocation and ordering of authorship, in line with the standards applicable within the discipline(s) concerned.
31. All authors must have made a genuine intellectual contribution to at least one of the following elements: the design of the research, the acquisition of data, its analysis or the interpretation of findings.
32. All authors must have approved the final version of the research product.
33. All authors are fully responsible for the content of the research product, unless otherwise stated.
40. When making use of other people's ideas, procedures, results and text, do justice to the research involved and cite the source accurately.
41. Avoid unnecessary reuse of previously published texts of which you were the author or co-author.
 - a. Be transparent about reuse by citing the original publication.
 - b. Such self-citation is not necessary for reuse on a small scale or of introductory passages and descriptions of the method applied.
42. Always provide references when reusing research material that can be used for meta-analysis or the analysis of pooled data.
43. Avoid unnecessary references and do not make the bibliography unnecessarily long.

3.5 Assessment and peer review

48. Do not use the system of peer review to generate additional citations for no apparent reason, with the aim of increasing your own or other people's citation scores ('citation pushing').

More detailed background information on publication ethics can be found on the website of the committee on publication ethics (COPE, <https://publicationethics.org/>).

1 Guidelines for authorship at Wageningen University & Research

Wageningen University & Research has established guidelines for authorship that have to be considered by all WUR researchers and these apply to any written document¹, be it an article, conference proceeding, confidential or publicly available report, abstract, book, book chapter, presentation, etc. These guidelines are more extensive than those described in the Netherlands Code of Conduct for Research Integrity.

An author of a manuscript should have made a significant scientific contribution to the manuscript and shares responsibility and accountability for the results reported. Lesser contributions by others should be listed in the acknowledgment, if applicable. An administrative relationship to a study or a relationship as supervisor or being responsible for the funding does not necessarily qualify a person for authorship. The submitting author should, at all times, send all co-authors the final draft of the manuscript and receive their approval before submission and publication of the work.

Many journals nowadays require the contribution(s) of each author to be stated in the manuscript, e.g. the CRediT – Contribute Roles Taxonomy used by Elsevier is now used by more than 1000 of their journals to identify 14 contributor roles to scientific scholarly output (<https://casrai.org/credit/>). Furthermore, journals may require an author to provide an ORCID iD (<https://orcid.org/>). The ORCID iD is a unique identifier that distinguishes you and your work from other researchers and their work.

Guidelines for authorship vary among disciplines. In general, authorship implies that a person has made a substantial contribution to, at least, two of the following research activities of a manuscript:

- initiation and design of the research
- data collection
- data analysis
- writing of the manuscript.

Order of the authors

For many disciplines at WUR, the first author is the person who has made the most important contribution. Co-authors can be ranked in order of decreasing importance of their contribution or in alphabetical order

if their contributions were equal. The second or last author may be the second most important contributor, the direct supervisor or the research leader, depending on the discipline. Note that all supervisors and research leaders mentioned as co-author should have made a substantial contribution to the manuscript in at least two of the above-mentioned activities.

Tips for managing authorship

It is recommended, based on expected research activities, to agree early in the research process on criteria and tasks for first authorship and the order of co-authors. There may be reasons to deviate from the agreed order of authorship after the research has been conducted or there may be specific reasons to deviate from the guidelines. These reasons, however, should be discussed with all contributors before being implemented. Contributors should collectively decide on authorship and the order in which authors appear on the manuscript.

In case of disagreement or unclarity regarding authorship, consult the chair of the group, research institute director or the PhD advisor of a Graduate School. Clarify any issue or conflict regarding authorship before submitting a manuscript to a journal or a publisher. Adding or removing authors and changing the order of authors is often very difficult once a manuscript has been accepted for publication.

PhD theses

Chapters of a PhD thesis are written by the PhD candidate, often in collaboration with others, with some of the chapters published or to be published in scientific journals. Supervisors are often a co-author on articles/chapters of a PhD candidate while other scientists may appear as an author on articles/chapters in a PhD thesis. To specify the contribution of a PhD candidate to the research reported in their thesis, an author statement developed by the PhD candidate, and approved by the supervisors, is added to the reading version of the thesis to assist reviewers/opponents to evaluate and judge the thesis within the scope of the learning objectives.

¹ Throughout this document the word manuscript is synonymous with all written documents.

2 Citing work of others and plagiarism

When citing work of others, the source used must be acknowledged. This is done by providing in-text citations and a reference list. By citing and referencing work of others, one:

- distinguishes one's own ideas and findings from those of others
- provides the author(s) of the source with credit for their work
- allows readers to locate and verify the source(s)
- supports/refutes/challenges/etc. arguments and ideas
- does not plagiarize.

Plagiarism means the use of another person's ideas, work methods, results or text without appropriate acknowledgement. In publications this involves using work of others without a citation. Plagiarism is considered a serious academic offence, and Wageningen

University & Research performs plagiarism checks on student assignments. Most scientific journals also use plagiarism detection software. To avoid plagiarism, cite any text, idea, image, or data that are not your own. In case of citing material such as images, please note that this may be, even if properly referenced, restricted as copyright regulations may apply.

Furthermore, avoid unnecessary reuse of previously published texts of which you were the author or co-author. Be transparent about reuse by citing the original publication. Please note that although it is often not necessary to reference your own work if minor introductory passages or descriptions of methods are reused, plagiarism detection software may also detect this as plagiarism.

3 Author affiliations

The correct affiliation(s) should be used for all authors. For authors affiliated with Wageningen University & Research, first report the specific group or business unit of the author, followed by the brand name "Wageningen University & Research" (see <https://www.wur.nl/en/Library/Researchers/Publishing/WUR-brand-name.htm>). Check that the affiliation of external authors is also correct.

Nowadays, many journals require an author to mention competing interests to ensure transparency. Any association (financial or non-financial, professional, or personal) which can be perceived as a competing interest by others should be declared.

In many cases the first author will act as the corresponding author but there may be reasons to deviate from this. To make use of the WUR Open Access deals with publishers, the corresponding or submitting author must be affiliated with WUR and have a valid WUR email account at the time of submission or publication. Note that a manuscript may be published long after it has been submitted. If the corresponding author has a temporary WUR contract (e.g. PhD or post-doc), ensure that another author on the manuscript who has a valid WUR account at the time of publication is also listed as contact person.

The WUR Library does not allow publications without a WUR affiliation to be registered as WUR output in the Research Information System of Wageningen University & Research (Pure).

Authors can only use an affiliation in a manuscript when a significant scientific contribution has been made from work associated with that affiliation. As such, the same guidelines apply as the guidelines for authorship. An author may be justified to use double affiliations for a manuscript. However, it is unethical and as such not allowed, to list affiliations from which no significant scientific contribution to the manuscript has been made, even in case a formal relationship exists or existed with that affiliation.

Most confusion arises in those cases where an author, besides her/his WUR affiliation, also has a formal work-related relationship with an institute outside WUR. In this case, the following guidelines apply:

- Publications in the context of a WU PhD project will always be considered as WU output. In case a PhD candidate has a (part-time) formal association with an institute outside WU, it is justified to also specify this affiliation within a publication if the PhD project is based on this formal association.
- Publications of WUR researchers with a (part-time) formal association outside WUR or publications based on work while being active as guest researcher outside

WUR (e.g. a special chair outside WUR) will only be registered with WUR if the publication contains a significant scientific contribution that can be traced back to the WUR association. A significant scientific contribution to a manuscript made during a sabbatical visit is (also) considered WUR output since this is based on the employment at WUR.

- Publications of external researchers with a (part-time) formal association with WUR or publications based on work while being active as guest researcher at WUR (e.g. special chairs) will be registered as WUR output in case work performed at WUR has resulted in a significant scientific contribution to the manuscript. In case the manuscript has been the result of work conducted solely from WUR associated time, WUR should be the only affiliation mentioned.

Past publications resulting from an affiliation outside WUR cannot be registered as a WUR publication. The Research Information System of Wageningen University & Research (Pure) offers the possibility to register these publications as non-WUR publications.

Future manuscripts resulting from work conducted while an author had a WUR affiliation can be registered as a WUR publication.

For the avoidance of doubt: in case a person is evaluated for a position or advancement, the full publication list of the person is considered. Affiliations are not taken into account.

Authorship and affiliations

