

# DTU Publication Policy

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## 1. PREAMBLE

Publication of research results is key to the mission and functions of the university, the exploitation of its research in society, and the recognition of its individual researchers as well as of the institution as a whole.

The policy ensures that publication at DTU:

- is in line with the *Danish Code of Conduct for Research Integrity*<sup>1</sup>
- is in line with the *Danish National Strategy for Open Access*<sup>2</sup>
- is in line with the *DTU Research Policy*<sup>3</sup>

### Scope

The policy deals with scientific publications with DTU researchers as authors. These are typically in the form of articles in journals, papers in conference proceedings and chapters in books that have undergone peer-review during the publication process.

The policy deals with the following aspects of publication:

- General principles (section 2)
- Attribution of authorship (section 3)
- Registration and archiving (section 4)
- Open Access (section 5)
- Management of copyright (section 6)

## 2. GENERAL PRINCIPLES

- i. Research results should be published in an honest, transparent, and accurate manner.
- ii. Publishing the same results in more than one publication should only occur under particularly, clearly explained and fully disclosed circumstances.
- iii. Recycling or re-use of primary materials, data, interpretations or results should be clearly disclosed.

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<sup>1</sup> Published by the Danish Ministry of Higher Education and Science on 5 November 2014  
<http://ufm.dk/publikationer/2014/the-danish-code-of-conduct-for-research-integrity>

<sup>2</sup> Published by the Danish Ministry of Higher Education and Science on 23 July 2014 <http://ufm.dk/en/research-and-innovation/cooperation-between-research-and-innovation/open-access/articles/denmarks-national-strategy-for-open-access>

<sup>3</sup> DTU policies  
<http://www.dtu.dk/english/about/organization/policies>

- iv. If access to and analysis of all data are subject to limitations, this should be declared in a clear manner to the readers of the publication. Detailed information about any role of the study sponsor concerning research design, collection, analysis and interpretation of data, and publication decisions should be provided in the manuscript.
- v. When using one's own work and the work of other researchers in a publication, appropriate and accurate references to such work should be provided.
- vi. The right of researchers to unrestricted publication of their research should be respected.

### 3. ATTRIBUTION OF AUTHORSHIP

- i. Attribution of authorship should in general be based on criteria a-d adopted from the Vancouver guidelines<sup>4</sup>, and all individuals who meet these criteria should be recognised as authors:
  - a. Substantial contributions to the conception or design of the work, or the acquisition, analysis, or interpretation of data for the work, and
  - b. drafting the work or revising it critically for important intellectual content, and
  - c. final approval of the version to be published, and
  - d. 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.
- ii. In addition to being accountable for the parts of the work he or she has done, an author should be able to identify which co-authors are responsible for other specific parts of the work.
- iii. The criteria for authorship should not be used to exclude persons who otherwise meet authorship criteria, and therefore persons who meet criterion 'a' should be given the opportunity to meet criteria b-d.
- iv. Authors have a right to decline authorship, e.g. if they disagree with (part of) the methodology or conclusions in the publication. However, substantial contributions to the work should always be disclosed, e.g. as acknowledgements.
- v. Important work and intellectual contributions of others that have influenced the reported research but do not meet the criteria for authorship should be appropriately acknowledged.
- vi. Participation solely in the acquisition of funding, in the collection of data, or in general supervision of the research group does not justify authorship.

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<sup>4</sup> International Committee of Medical Journal Editors – Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals, updated December 2015  
<http://www.icmje.org/recommendations/>

- vii. If authorship is by a group name, all members of the group should fully meet the criteria for claiming authorship.
- viii. Guest authorship (i.e. listing authors who do not qualify as such) or ghost authorship (i.e. omitting individuals who should have been listed as authors) must not take place.
- ix. Decisions concerning publication and authorship should be agreed on jointly and should be communicated to all members of the research team. Any alterations to manuscripts after submission should be approved by all authors.
- x. All authors are responsible for the content of the publication. However, the responsibility of each author should be assessed subject to their individual role in the research by considering their area of expertise, their experience and seniority, a possible supervisory role, and other relevant factors. Thus, in some cases an author may have a wider responsibility than others for ensuring the integrity of the publication or specific parts of the publication.
- xi. DTU authors must ensure that they themselves as well as the university are attributed unambiguously:
  - a. Author names should be written consistently in the same form and, whenever possible, accompanied by the global researcher ID, ORCID<sup>5</sup>, which all DTU researchers are strongly encouraged to obtain.<sup>6</sup>
  - b. Author affiliation should be written consistently in the short or long form given below, using the “Section for Cognitive Systems” as example:
    - DTU Compute, Cognitive Systems, Technical University of Denmark, 2800 Kgs. Lyngby, Denmark
    - Department of Applied Mathematics and Computer Science, Section for Cognitive Systems, Technical University of Denmark, DTU, 2800 Kgs. Lyngby, Denmark

#### 4. REGISTRATION AND ARCHIVING

- i. All publications must be registered and archived in the university’s research database, DTU Orbit.<sup>7</sup>
- ii. At the end of the peer-review process, DTU authors must submit the final and accepted manuscript to the library for registration and archiving.<sup>8</sup>
- iii. DTU Library is responsible for the registration and archiving of the publication in DTU Orbit.

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<sup>5</sup> <http://orcid.org/>

<sup>6</sup> Get your ORCID via DTU basen

<http://www.bibliotek.dtu.dk/english/servicemenu/publish/publishing/orcid>

<sup>7</sup> DTU Orbit

<http://www.orbit.dtu.dk>

<sup>8</sup> Procedure for uploading manuscripts into DTU Orbit

[http://www.bibliotek.dtu.dk/~media/Andre\\_Universitetsenheder/Bibliotek/pdf/Quick\\_Guide\\_Publications.ashx](http://www.bibliotek.dtu.dk/~media/Andre_Universitetsenheder/Bibliotek/pdf/Quick_Guide_Publications.ashx)

- a. As soon as a published version becomes available, DTU Library will update the registration and add the published version to the archive.
- iv. DTU Library ensures Open Access to the archived publications as soon as this is possible in accordance with the appropriate journal and publisher policies.

## 5. OPEN ACCESS

DTU publications must be easily and freely available to the widest possible audience in order

- to enable scientific collaboration and scrutiny
- to facilitate the exploitation of research results
- to support information and knowledge access to society at large.

Open Access is a key concept in enabling this availability, as the access rights acquired by the university do not extend beyond the campus. However, the current marketplace for scientific publishing services is characterized by a lack of competition and a very high level of costs for the universities. Consequently, DTU researchers must consider the following when deciding where and how to publish:

- the expected recognition by fellow researchers (citations etc.)
- the availability of the publication to the widest possible audience
- the costs, if such are incurred in addition to the university's subscription costs.

In practice, Open Access may be achieved in three ways:<sup>9</sup>

### i. **Via Open Access repositories (green Open Access)**

This form of Open Access will be realized for all DTU publications simply by following the provisions of section 4 above. No additional publication costs will be incurred, and no additional researcher effort is required. Open Access via DTU Orbit becomes effective at the end of peer review or as soon thereafter in accordance with the policies of the particular journal or publisher.

**Green Open Access is the national recommendation and strategy, and DTU is committed to this strategy.**

### ii. **Via Open Access journals (golden Open Access)**

Many journals are launched as dedicated Open Access journals, where all content is freely accessible by anyone on the Internet. In some cases publication in such journals is free, in other cases the authors are charged a fee, an "article processing charge". Publishing in an Open Access journal is relevant when it is considered the best place to publish and the costs are not excessive.<sup>10</sup>

### iii. **Via Open Access articles in subscription journals (hybrid Open Access)**

Many subscription journals offer authors the option to pay an extra fee in order to release their article as Open Access while the rest of the journal remains subscription access only. This fee is often very substantial and comes on top of the subscription license already paid by the university. Consequently, this should be avoided, except in

<sup>9</sup> <http://www.bibliotek.dtu.dk/english/servicemenu/publish/openaccess>

<sup>10</sup> <http://www.bibliotek.dtu.dk/english/servicemenu/publish/openaccess/cost>

the few cases where such fees are deducted from the university's subscription price.<sup>11</sup>

## 6. MANAGEMENT OF COPYRIGHT

- i. The copyright to a literary work belongs to the author(s).
- ii. DTU authors are advised to avoid the transfer of all rights to the publisher, but rather to license the limited set of rights needed to enable publication in the particular journal.
  - a. As a minimum, DTU authors should retain the right to make the publication available via the university's institutional repository, DTU Orbit.
- iii. DTU authors publishing in Open Access journals or otherwise able to define the license of their publication are advised to use a globally recognized and understood Creative Commons license, such as CC-BY.<sup>12</sup>

## 7. POLICY PROCESS

The DTU Publication Policy was approved by the Executive Board in 2016, and should be considered for review every five years.

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<sup>11</sup> <http://www.bibliotek.dtu.dk/english/servicemenu/publish/openaccess/cost>

<sup>12</sup> Creative Commons at DTU

<http://www.bibliotek.dtu.dk/english/servicemenu/publish/openaccess/creativecommons>