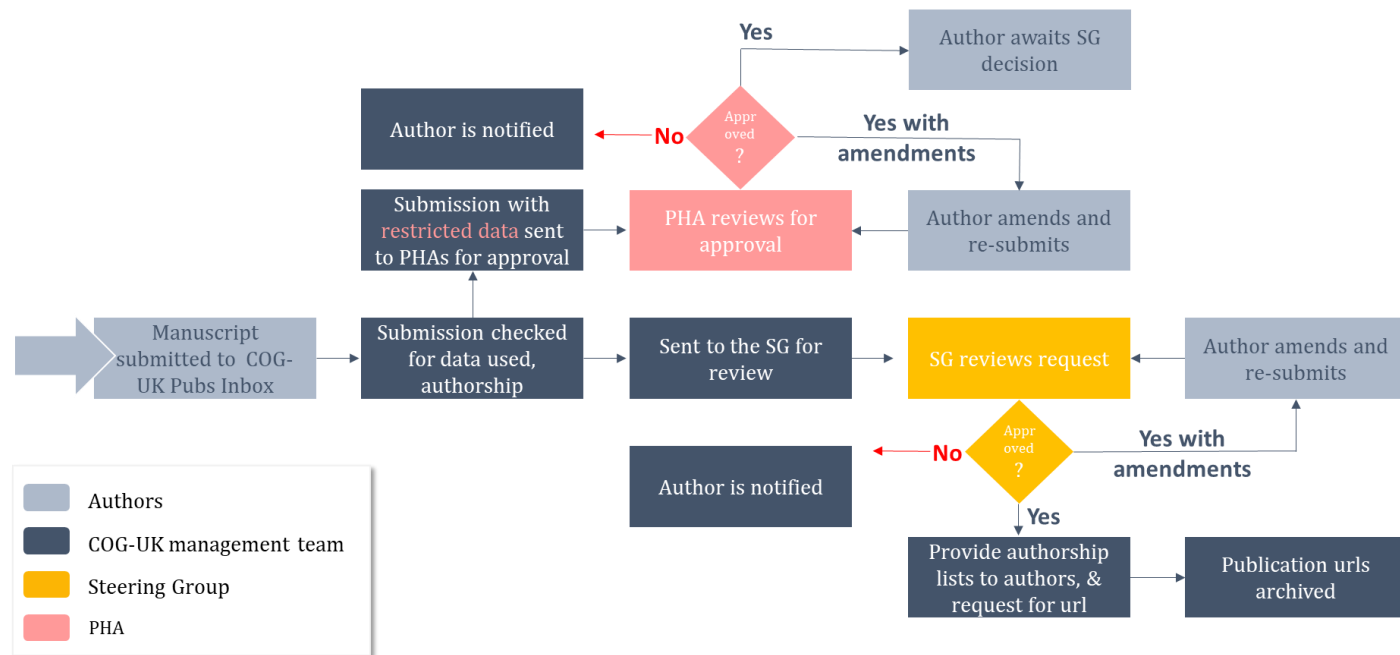


# COG-UK Consortium Publication and Authorship Policy

Figure 1 Proposed Publications process flow



Note: in Figure 1 'Submission with restricted data' means the manuscript submitted relates to results of analysis performed using Consortium Access Data or Restricted Access Data (as defined in the COG-UK Consortium Agreement)

## 1. BACKGROUND

The COVID-19 Genomics UK (COG-UK) consortium is a large collaborative project consisting of Public Health Agencies, academic organisations, NHS organisations and large sequencing centres working together to collect, sequence and analyse whole genomes of SARS-CoV-2 virus samples in the UK. Members of COG-UK include both senior and junior scientists, clinicians, public health professionals and various other individuals working behind the scenes on different aspects, such as building infrastructure to support the analysis and reporting of sequence data and providing logistical and laboratory support for the shipment of samples. As a result, it is important to ensure that individuals and institutions are acknowledged accordingly for their contribution to COG-UK. The purpose of this document is to summarise the COG-UK CONSORTIUM publications/authorship policy. A key aim is to get papers published as quickly as possible while maintaining fairness, equity and quality.

## 2. PUBLICATION/AUTHORSHIP POLICY

### A. Virus sequence data sharing policy

- Virus sequence data should be uploaded to the COG-UK CLIMB server, where it will subsequently be made openly available in the European Nucleotide Archive and GISAID (unless sites are submitting it themselves).
- Data sharing policy is applicable to any sequencing data generated as part of the COG-UK Consortium

## **Publications**

- All publications using COG-UK data should be published in journals with Open Access wherever possible, or that allow open access within 6 months. The exception is where additional funding sources preclude this.
- All publications using COG-UK data must be submitted to the Steering Group for approval before publication in any format (see Submission below for details).
- Privacy and ethics must be considered in any publications. All patient data must be suitably anonymised and approved by PHA governance prior to publication in any medium.
- Accession numbers for sequence data and links to other open access data should be included in any publications
- Publications should credit contributors appropriately.
- Code used in the analysis of data should be included in the publication or made freely available on sites such as Github.
- This publications policy applies to all publications, including articles, discussion papers, posters, abstracts, teaching material, student supervision, theses, and research briefs. Please note that the policy applies to all student written work and oral discussions with persons inside and outside their institution.

## **B. Definitions**

### ***i* Author**

Persons who have contributed significantly to COG-UK and have been nominated for the COG-UK CONSORTIUM author list.

### ***ii* Contributor**

Persons who have made meaningful contributions to the study, but not added to the COG-UK CONSORTIUM author list by an Institution working with COG-UK

## **C. Principles**

### ***i* General Principles**

1. The COG-UK CONSORTIUM Steering Group and Principal Investigator will be responsible for protecting the interests of all stakeholders in the writing and publication of study information.
2. All authors agree that the Steering Group will act on their behalf to approve publications with COG-UK authorship. Publication review will only be performed by the COG-UK Steering Group, however each author will be sent a copy of the approved publications.

3. Authorship expectations and responsibilities will be established by those named in (1) for all investigators including the COG-UK CONSORTIUM team, and any collaborators.
4. COG-UK CONSORTIUM should establish *a priori* lists of potential investigations that are anticipated so that the expectations for these publications can be established as soon as possible.
5. COG-UK CONSORTIUM strongly discourages ‘publication by press release’ and recommends that COG-UK CONSORTIUM members only issue proactive press releases in relation to peer reviewed publications (e.g. not for publications such as preprints that have not undergone peer review).
6. COG-UK CONSORTIUM encourages the development of junior investigators, and is supportive of this aim.
7. COG-UK CONSORTIUM will establish time limits for “ownership” of a publication (e.g. preparing a manuscript in good time). After these periods are up, the initial allocations of responsibility or authorship can be revised if the obligations of “ownership” were not met. The Steering Group will manage this process.
8. For the main COG-UK CONSORTIUM papers, working groups/paper developers will be set up to ensure involvement from those who would like to make major contributions to manuscript development.

#### *ii* **Authorship principles**

1. **Equity.** Assuring that all people with equivalent contributions are recognized equally.
2. **Reciprocity.** Assuring that all groups treat one another in the manner that they are being treated.
3. **Fairness.** Accounts appropriately for people who come or go from the project mid-way.
4. **Opportunity.** Recognize people in a way that provides opportunity, especially for junior project members.

#### **D. Authorship Approach**

- All publications listing COG-UK as an author must state the full name of the consortium with the acronym “The COVID-19 Genomics UK (COG-UK) consortium.”
- The primary individuals who led the publications will be listed as the main authors on each publication. In addition, the COG-UK CONSORTIUM Study Group should be listed on **all publications that use data (including sequence data or metadata)** collected under the COG-UK ethics or that have been processed using infrastructure set up in partnership with COG-UK (e.g. CLIMB).
- Papers that include only very limited data from a single sequencing site and that include appropriate authorship for all parties involved will be considered on a case by case basis by the Steering group to **not** include the COG-UK CONSORTIUM Study Group authorship list.

- The COG-UK CONSORTIUM Study Group authorship list will be ordered according to the CRediT taxonomy (<https://dev.biologists.org/content/author-contributions>). All authors on this list will need to have met the criteria for Group authorship as in 2i. Each institution will be responsible for assigning authors at their institution to the correct CRediT taxonomy category. Authors will then be listed alphabetically under each category. The sheet used to collect authorships and details of the taxonomy are included here:  
<https://drive.google.com/file/d/1ytpzQQ4QLMTBybbaTBiGLoKIN2MRKGmC/view?usp=sharing>
- The list of authors and their assignment to taxonomy categories will be reviewed quarterly to allow for new team members to be added to the list and for members no longer working on COG-UK to be removed. This may move to biannually in the long term. Authors can request to be removed from the COG-UK CONSORTIUM author list.
- Exceptional requests for alterations to the authorship will be considered - but are likely to be limited to large changes only - e.g. a new institution (if a new site joins COG-UK).
- Local contributors can be included in acknowledgements where they do not meet the requirements for COG-UK CONSORTIUM authorship e.g. provision of additional samples from outside the COG-UK CONSORTIUM.

#### E. Manuscript Development and Review Process

- Working groups will be established to develop the main papers with agreed leads for analysis and writing.
- **All COG-UK CONSORTIUM manuscripts will need to be reviewed by the Steering Group prior to submission for publication.** The purpose of this review is to verify that the manuscript is aligned with COG-UK CONSORTIUM authorship principles. However, a deadline will be set to ensure that the review process doesn't lead to a substantial delay in publication.
- Review of COG-UK CONSORTIUM manuscripts will be documented and coordinated by the COG-UK CONSORTIUM operations manager.
- The manuscript review process is outlined below in section G.

The COG-UK CONSORTIUM publications policy is meant to help guide all stakeholders through the publication process of investigations that utilize COG-UK CONSORTIUM study data. This project will involve a number of interests, and definitions contained in this publications policy will need to balance the needs of the COG-UK CONSORTIUM PIs and co-PIs, the local site investigators, and the opportunity for young investigators to obtain credit.

Based on expected study results, COG-UK CONSORTIUM aims to have a series of several key papers to be published in 2020.

## F. Funder Acknowledgement

The COG-UK CONSORTIUM funders must be acknowledged on all publications using the agreed sentence:

*COG-UK is supported by funding from the Medical Research Council (MRC) part of UK Research & Innovation (UKRI), the National Institute of Health Research (NIHR) and Genome Research Limited, operating as the Wellcome Sanger Institute.*

## G. Step by step guide to submission of manuscripts for review by COG-UK steering committee

The procedure applies to **all papers** from **all members** of COG-UK (Academic institutions, NHS sites, Public Health Agencies and others).

### 1. Submission:

- a. All manuscripts that use COG-UK data and any supplementary materials should be submitted to the COG-UK Pubs Inbox [coguk\\_pubs@medschl.cam.ac.uk](mailto:coguk_pubs@medschl.cam.ac.uk) by Wednesday at 12pm for review and a decision by the Steering group the following Tuesday (this timeline cannot be guaranteed if further review is required or during holiday periods).
- b. Papers (and any supplementary materials as a zip folder) **that use restricted metadata** will be shared by the COG-UK management team in the first instance with the relevant Public Health Agencies (PHAs) for review (e.g. PHE for English data).

### 2. The Steering group review process will assess the following:

- a. Does the authorship align with COG-UK publication policy?
- b. Is the correct funding statement used?
- c. Are there any issues around data and information governance in the paper and its supplementary materials?
- d. Scientific review - broadly are the scientific conclusions of the paper robust. The scientific review of the paper will be conducted by members of the steering committee, and by other members of the consortium when further or specialist assessment is required.

### 3. An **initial response** to the authors will be provided by 12pm on the following Wednesday. The steering committee may request editing or changes in authorship before signing off publications.

4. **Authors should not submit to a journal or preprint archive until receiving sign off.** **Note:** Authors who are aware of a rival publication and have any considerations regarding primacy should make this clear in their email when submitting the paper for sign off by the steering committee - a rapid review via email or preliminary sign off for submission as a preprint will then be considered.
5. Broadly - **authors are suggested to err on the side of caution when deciding on authorship.** COG-UK is a large (>400 members) and complex consortium with large numbers of staff working collectively, many of whom are completely out of sight.

**COG-UK Consortium Publication & Authorship Policy v1.5**  
**Approved by Executive Director and Chair, 18/09/20**  
**Approved by Steering Committee, 29/09/2020**