

## STRiDE Publication Policy

Version: May 2020

### 1. Introduction

This policy addresses the publication procedures related to the STRiDE (Strengthening Responses to Dementia in Developing Countries) project. It is intended to promote a fair and transparent process that maintains the capacity-development focus of STRiDE while also ensuring timely production of high-quality research outputs.

This policy refers specifically to STRiDE outputs; these include all forms of publication conducted as part of STRiDE and/or using data generated by STRiDE itself or analyses of secondary data. Throughout this document, the term ‘data’ refers to information or evidence (quantitative or qualitative; this could include documentary material such as policies and published literature, economic, health or demographic data obtained from individuals and service information obtained from providers. These outputs include, but are not restricted to, peer-reviewed journal papers (which are our most important outlets for academic work), conference reports, book chapters, policy briefs, other reports, blogs, media reports and audio-visual materials. Further detailed plans for outputs will be drawn out in WP10.

This publication policy does not apply to outputs produced by members of the STRiDE collaboration that do not use data, evidence or information generated as part of STRiDE or analyses of secondary data not conducted as part of STRiDE. These latter - which can be called ‘indirect STRiDE outputs’ - may nevertheless be related to the overall aims or substantive focus of STRiDE. Examples might include editorials written by one or more STRiDE members on a subject related to dementia in middle- or low-resource settings and peer-reviewed papers by one or more STRiDE members that report on data from another project which has similar objectives and clear synergies with STRiDE.

This policy relates specifically to members of the STRiDE project team<sup>1</sup>.

The STRiDE Project Management Team (SMT), led by the PI (Martin Knapp), will coordinate submission of information about STRiDE outputs, outcomes and impacts to the funding body (UK Research & Innovation (UKRI)). Information to support these submissions will be requested from the STRiDE project team through biannual project reporting.

### 2. Data sets

This policy should be read alongside the STRiDE Work Package-specific policies and procedures for data management which set out information on data generated within the project and ownership matters.

Queries should be sent to the STRiDE Management Team as needed.

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<sup>1</sup> A separate policy will be drawn up relating to outputs by non-STRiDE members who may be given access to STRiDE data in the future in order to extend the potential impact of these data. It will be necessary for STRiDE data to be made available outside the project in due course - it is a contractual requirement - and we should later discuss and, as necessary, develop publication guidelines to cover shared data.

### 3. Criteria for authorship<sup>2</sup>

The authors of an output and the order of authors should reflect the relative contribution of each individual to the writing of the paper/output as well as the design, analysis and conduct of the research activity.

Authorship should be discussed between contributing STRiDE colleagues at an early stage in the proposing of an output and should be renegotiated as necessary (e.g. if roles change within the group of contributors over the course of the work). There should be agreement on which outputs will be written jointly (and the ordering of authors) and which will be single-authored, with an agreed acknowledgement given to contributors. A record should be made of these discussions.

Early drafts of outputs should always include details of authorship (including proposed order) and other credits to ensure early discussion of these matters, with the aim of trying to avoid future difficulties. These discussions should be coordinated by the STRiDE member(s) who lead the Work Package from which the work to be published originated. The STRiDE Executive Group will review planned outputs regularly and will comment on issues of authorship as needed.

The expectation should be that a student would normally be first author on any multi-authored output based *heavily* on their doctoral or other thesis, if the research for their degree is substantively linked to STRiDE.

Principles of capacity-building should be inherent in the choice of authors. More junior members of STRiDE (in terms of research or other relevant experience) should be encouraged and supported to take the lead on appropriate outputs and thus qualify for first authorship. However, it is important to ensure that the authorship group has the necessary technical skills to complete the output. It is also important that authorship (inclusion and order) is as fair as possible to all relevant STRiDE members.

#### Attributing authorship

Authorship should be reserved for those who have made significant intellectual contribution to the research or relevant STRiDE activity. All persons who qualify for authorship should be listed.

A STRiDE member or external party should meet all three of the conditions below to be a named author:

1. made a substantial direct contribution (i.e. intellectual responsibility and substantive work) to:
  - either the conception and design of the research or related activity
  - or the acquisition of data
  - or the analysis and interpretation of data
2. made a substantial contribution to the preparation of the output (generally this will mean writing) or to critically reviewing successive drafts of the output and adding important intellectual content

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<sup>2</sup> Criteria for authorship in this guideline are informed by the principles of good professional conduct and ethical practice set out by the [British Sociological Association's Equality of the Sexes Committee](#) (2001) and the [International Committee of Medical Journal Editors](#) (2019).

3. given final approval of the version to be submitted for publication.
4. agreed to be accountable for all aspects of the reported work in ensuring that the questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

In addition to being accountable for the parts of the work they have done, an author should be able to identify which co-authors are responsible for specific other parts of the output. In addition, authors should have confidence in the integrity of the contributions of their co-authors.

All those designated as authors should meet all four criteria for authorship, and all who meet the four criteria should be identified as authors. Those who contributed but do not meet all four criteria should be acknowledged in the output.

These authorship criteria are intended to ensure that the status of authorship is reserved for those who deserve credit and can take responsibility for the work. The criteria are not intended for use as a means to disqualify colleagues from authorship who otherwise meet authorship criteria. Therefore, all individuals who meet the first criterion should have the opportunity to participate in the review, drafting and final approval of the output.

External authors may collaborate with STRiDE members on outputs, including taking the role of lead author, providing that they fulfil the criteria for authorship, that they are identified in the Intention to Publish form, and that this has the agreement of the STRiDE Executive Group.

### **Order of authors**

The first author should be the person who takes responsibility for the drafting of the output, in addition to taking overall responsibility for relevant other aspects of the process including research design, related activity within the STRiDE Work Package or data analysis; i.e. the first author should be the person who has led on these substantive elements of research and reporting. Generally, it would be expected that authors will then appear in order of relative contribution to the work reported in the output. Where there is no difference in the size of contributions, authors should be listed in alphabetical order of their surnames. The equal contribution made by all authors should be indicated in a footnote in the output. The last author is generally regarded (in most health journals) as the senior author, who has played a supportive or oversight role in the published research.

Decisions about who should be an author, the order of authors and who should be included in the acknowledgements should be made collectively by all authors. In the event of disagreement, the WP lead will decide on author order. If there is disagreement, and if the WP lead is one of the authors, then author order will - if time permits - be decided by the Executive Group, or by the Principal Investigator (Martin Knapp) if there is insufficient time to consult the EG.

### **Acknowledgments**

All those individuals who make a substantial contribution to an output without fulfilling the criteria for authorship should be acknowledged. These might include interviewers, fieldwork supervisors, gatekeepers, computing staff, administrative staff, statistical advisers, colleagues who have reviewed the paper, students who have undertaken some sessional work and user groups. But it should also be emphasised that any of these listed people could be co-authors of STRiDE outputs if they fulfil the criteria described above.

Outputs **must** state “This work was supported by the UK Research and Innovation’s Global Challenges Research Fund (ES/P010938/1)”.

If applicable, each output should include a statement on how underlying research materials, such as data, samples or models, can be accessed. However, the policy does not require that the data must be made openly available unless specified in the relevant WP-specific data management arrangements. If there are considered to be compelling reasons to protect access to the data (e.g. legitimate sensitivities around data derived from potentially identifiable human participants) these should be included in the statement.

#### 4. Procedures for writing and submitting a publication

##### Suggestions for outputs

The SMT will consult all STRiDE members to get an initial idea of papers and other outputs that might be expected to be written from STRiDE. This consultation will generate a potential publication list that will be produced by the SMT in close collaboration with WP leads. This will then be shared with all other STRiDE members. The aim is to produce a consolidated list that covers all outputs that can be envisaged at this stage, but of course further ideas for STRiDE outputs are very likely to emerge over the course of the project. The idea is to get a general sense of outputs that STRiDE members see as important, whether to a particular policy or practice theme, or disciplinary area or country.

Thereafter, the SMT will aim to provide regular updates - both updates on individual outputs (if there has been progress) and on new suggestions for papers. Publications will be a standing item for discussion at full project meetings.

Country partners will be encouraged to take responsibility for their country-specific outputs, working alongside the WP lead. This does not exclude cross-country partners working with data from a single country or country partners working with cross-country data. Cross-country partners wishing to produce an output based on country data should discuss this with the STRiDE country team where the data were collected, the WP lead and any other collaborators they wish to include. (Any data-sharing arrangements that will need to be in place to facilitate this will need to be discussed separately.)

##### Process for producing outputs

Once an outline of the output and list of authors have been established, the lead author should submit an *Intention to Publish* form at <https://stride-dementia.org/intention-to-publish-form/>. Once the form has been received, the SMT will check the intended paper against the potential publication list and the database of all other *Intention to Publish* forms received at that point to determine if there is any potential duplication with an existing intended publication, and how it aligns with other papers on the potential publication list. This information will be relayed to the lead author as soon as possible, but normally within 11 working days. The purpose of this process is not to dampen enthusiasm to communicate STRiDE work to the wider world! It is to coordinate the various STRiDE outputs across WPs and countries. In most instances it is expected that there will be minimal or no changes to the plans outlined in the Intention to Publish submission.

## Exceptional circumstances

In exceptional circumstances, such as the need to get an output from STRiDE into the public domain as soon as possible, an alternative approach is possible. The lead author should contact Martin Knapp and Adelina Comas-Herrera as soon as possible to set out the intention to submit. If both Martin Knapp and Adelina Comas-Herrera are involved in the output, then another member of the SMT should be contacted.

The principles set out in this *Publications Policy* should be adhered to, the STRiDE project should be named, and there should be the usual acknowledgment to the funding source.

This provision is **only** available in truly exceptional circumstances. An example is the learning from individual STRiDE countries about COVID-19 and its impacts on people living with dementia and carers, where the outputs (in that case they are blogs) will be of greatest benefit if they are in the public domain rapidly.

## Choice of journal and publishing guidelines

Outputs that report important methodological aspects of STRiDE or that report findings should ideally be targeted first towards higher-impact ISI-listed peer-reviewed journals.

Each STRiDE publication must be made open access as per RCUK's [Policy](#) (2017). Wherever possible, STRiDE authors should publish in immediate open access format (e.g. a paper is freely available on a journal website as soon as it is published). As a second option when this is not possible, STRiDE authors should publish in a delayed open access format with an embargo of no more than 12 months (e.g. a paper is freely available on a journal website within 12 months of it being published).

Some journals may require a fee to be paid to make an article available publicly. The STRiDE project does *not* have a budget specified for open access fees but will be able to request funding from internal LSE resources for a *limited* number of papers. Authors should consider applying for funding from their own institutions for support.

Another open access option is so-called 'green open access'. This option may be selected if other options for open access are not possible. With this option, authors should self-archive a pre-publication version of the output on the STRiDE website and their institution's repository if it has one. This version should be the final draft of the output *after* completion of the peer-review process. This 'green open access' option is, however, dependent on reaching agreement with the journal or book publisher.

The best option and arrangements to manage the process will be discussed between the authors and the STRiDE Management Team during review of the *Intention to Publish* form.

## 5. Presentations

The above principles for publications also apply to presentations of the project and other non-written outputs (videos etc.). These guidelines are not intended to stop or unnecessarily delay plans for presentations, but to ensure that STRiDE activities, methods and findings are communicated in ways that have the agreement of all project members who have worked on the material, and also to ensure that presentation does not jeopardise publication in a journal or other outlet.

The template for STRiDE slides for use in conference presentation with the appropriate logos, acknowledgements and disclaimers is available on the Workspace. As far as possible, this standard STRiDE design should be used, although it is recognised that this is not always possible at some conferences or in some contexts.

## **6. Duration and review of policy**

The principles of this guideline will apply to the publishing of all STRiDE methods, findings, research tools, guides etc. They also apply to the analysis of secondary data accessed as part of STRiDE until 31 December 2026 (i.e. 5 years after the formal completion of the project as currently timetabled). The SMT will review this publication policy annually and, if necessary, recommend modifications to the policy for agreement by the Executive Group.

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*We would like to thank the PRIME and AFFIRM projects for the use of their Publication policies as a guideline for developing this protocol.*