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Disclaimer: The views and opinions expressed in this publication are the sole responsibility of the author(s) and do not necessarily reflect the views of the European Commission.

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Project Summary

ENERGISE is an innovative pan-European research initiative to achieve a greater scientific understanding of the social and cultural influences on energy consumption. Funded under the EU Horizon 2020 programme for three years (2016-2019), ENERGISE develops, tests and assesses options for a bottom-up transformation of energy use in households and communities across Europe. ENERGISE adopts a Living Labs approach to directly observe existing energy cultures in a real-world setting and to test both household and community-level initiatives to reduce energy consumption. A comprehensive review and classification of household and community energy initiatives from 30 European countries provides the foundation for the development of two prototype 'ENERGISE Living Labs' designed to capture influences on individual and collective energy consumption. Data collection before, during and after the roll-out of 16 living labs to eight partner countries will be instrumental in contributing to the design and assessment of future energy consumption initiatives across Europe. The project aims to enhance multi-way engagement with actors from society, politics and industry and effectively transfer ENERGISE's outputs to further the implementation of the European Energy Union.

Summary of Objectives

ENERGISE's primary objectives are to:

1. Move beyond existing sustainable consumption research by developing an innovative theoretical framework that fuses social practice and energy cultures approaches,
2. Assess and compare the impact of European energy consumption reduction initiatives,
3. Advance the use of Living Lab approaches for researching and transforming energy cultures,
4. Produce new research-led insights into the role of routines and ruptures in shifting energy use towards greater sustainability,
5. Enhance multi-way engagement with actors from society, politics and industry and effectively transfer ENERGISE's outputs to further the implementation of the EU Energy Union.

The ENERGISE consortium includes ten research partners (universities, research institutes, enterprises and NGOs) from Bulgaria, Denmark, Finland, Germany, Hungary, Ireland, Slovenia, Switzerland, the Netherlands and the United Kingdom. Various combinations of these partners have collaborated previously on a range of academic research outputs, such as peer-reviewed journal articles, edited books and conference and workshop papers and proceedings.

Executive Summary

Deliverable 7.10 focuses on ‘academic’ publications and summarises the ENERGISE consortium’s commitment to developing a minimum of 50 peer-reviewed journal articles, book chapters and reports intended for scientific audiences. In addition, the ENERGISE Consortium is committed to delivering a target of 100 contributions to academic conferences to include oral and poster presentations; as well as organising ENERGISE research sessions at scientific events, and an international conference by M36. This report (D7.10) outlines guidance on good authorship practice and the process to be undertaken in case authorship problems do arise. The aim is to assist the ENERGISE team in preventing and resolving any authorship issues.

1. Introduction

The ENERGISe project offers the opportunity and responsibility to share our data and our research experiences with others. However data dissemination and the medium of sharing information can take many formats, including community meetings, formal academic manuscripts, policy reports, websites, social media communication, press releases, presentations at scientific conferences, incorporating research experiences into teaching in classrooms and lecture halls, etc. For the purpose of this document, the term ‘publication’ refers to any and all forms of academic publication and dissemination of information.

Deliverable 7.10 focuses on academic publications and this document aims to outline the ENERGISe commitments to delivering quality peer-reviewed articles, book chapters, reports, and oral and poster presentations intended for scientific audiences. This document outlines guidance on good authorship practice and the process to be undertaken in case authorship problems do arise. This document aims to assist the ENERGISe team in preventing and resolving any authorship issues.

As the Lead of the ENERGISe project, NUIG is responsible for establishing and maintaining effective working relationships between consortium partners such that the project tasks are completed and objectives met. NUIG is also responsible for ensuring that tasks are completed on time and to required quality standards, leading to timely production of deliverables and milestones. Ranked in the top 2% of Universities globally, NUIG is a research led University and is responsible for preparing this academic publication strategy guidance document. Deliverable 7.11, a publically accessible ‘Catalogue of all presentations and publications’, will also be authored by NUIG and produced in the final month of the project (M36). This Deliverable is prepared within the Dissemination-Communication-Exploitation Work Package (WP7) and a related document (D7.1) details a communication and dissemination plan which outlines how all communication and dissemination needs from various WPs and the project in general are considered and coordinated. D7.1, prepared by GDI, outlines dissemination and communication activities that focus on innovative and engaging ways to share results with diverse academic and non-academic audiences, for example newspaper articles, social media, e-newsletters as well as public and policy workshops.

2. Scientific Publications

The ENERGISe project is committed to the development of a minimum of 50 peer-reviewed articles, book chapters, and reports intended for primarily scientific audiences. ENERGISe results will be arranged into key themes and these scientific outputs will cover theoretical issues, conceptual and methodological questions and key results.

Partner institutions will be invited to submit a list of proposed paper topics, and based on proposals received as well as a review of all ENERGISe deliverables, the Programme Board will consider which ones can be developed into conference papers, journal publications and/or book chapters. The Lead Coordinator, Frances

Fahy, will initially compile a list of potential journal article publications and journal outlets, based on input from the partners.

Target journals already identified within the ENERGISE Grant Agreement include *Energy Policy*, *Research Policy*, *Environment and Planning C*, *Global Environmental Change*, *European Environment and Technological Forecasting and Social Change*. In addition as part of D7.1, a survey on publication outlets will be conducted with all consortium members in M4 and analysed in M5, and its outcomes will be incorporated into the selection process for publication outlets. These initial lists will be discussed and edited by the Programme Board in M7 in order to develop additional publication proposals and outlets, seek interest from specific partners in the potential publication topics, identify possible timelines, and targeted journal outlets and confirm types of publications. For example, drawing on the GENOVATE¹ typology, the ENERGISE publication strategy could be developed in line with the following categories:

- A. *Institutional focus [led by institutional leads or agreed arrangements within institutions and acknowledgement of other contributors as appropriate]*
- B. *WP-Consortium focus - [led by WP lead with contributions from all partners]*
- C. *General-Consortium focus - Generic/whole consortia [led by Co-ordinator] - this will include Milestone papers which will be published when several WP leaders have submitted their deliverables*
- D. *Bilateral/multilateral focus – [written by two or more institutions, including comparative research]*

The aim of this process is to provide an overarching vision early on in the project (M7 with regular updates) to achieve the commitments agreed by the ENERGISE partners in the Grant Agreement. The process outlined above does not assume that the research team already knows the relevance of the research we are undertaking. Indeed the very nature of this three year policy-relevant research project on such a topical and urgent issue means that publication outlets and opportunities, such as Journal Special Issues in the energy space, may emerge as the project progresses. As active researchers we are all aware that the ‘trajectory of any research project is contingent upon historical conditions and contemporary events including learning processes among all relevant parties’ (Fahy and Rau 2013²). This process has inbuilt flexibility to ensure that these opportunities and learning processes can be incorporated in to our ENERGISE academic publication strategy.

Acknowledging that not all ENERGISE project partners have the same expectations to publish material for scientific audiences, the goal of the process outlined above aims to provide the Project Coordinator and Project Manager with an outline

¹ www.genovate.eu

² Fahy F. and Rau H (2013) ‘Researching complex sustainability issues: Reflections on current challenges and future developments’ in Fahy, F. and Rau, H. eds. (2013) *Methods of Sustainability Research in the Social Sciences*, SAGE, London

indicating what team members are interested in producing scientific publications as well as the potential topics/data that the team members are interested in publishing on. It is anticipated that this process will reduce the possibility of the team submitting several papers to the same journal, or preparing very similar manuscripts and/or publishing papers in an illogical order.

These lists of potential journal article publications and journal outlets are based on the input of the ENERGISE consortium and are expected to expand as the project develops. The Project Manager, Gary Goggins, will maintain these two lists, and lead authors are responsible for providing regular updates as part of the internal progress reports due every three months. For example any updates on papers submitted for review as well as articles published or pending publication should be sent to Gary Goggins to assist NUIG in compiling Deliverable 7.11, a publically accessible 'Catalogue of all presentations and publications'.

Please note that this strategy does not preclude the progression of any publications currently in preparation.

3. Open Access Policy

Section 4.1 of D7.1 outlines the ENERGISE knowledge management and open access policy. In summary, the ENERGISE Consortium will comply with the agreed Programme Board rules on open access publications (Green or Gold). All academic publications (final articles or manuscripts accepted for publication) will be deposited into the institutional repository of the research institution with which they are affiliated, or in an appropriate subject based/thematic repository, thereby also connecting with the EU OpenAIRE repository. This will ensure that the embargo period is respected. The authors will ensure open access to the bibliographic metadata that identify the deposited publication and will ensure that the metadata will be in a standard format and include all of the following:

- the terms "European Union (EU)" and "Horizon 2020";
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.

WP7 and WP8 have dedicated tasks and specific activities related to Knowledge Management and Transfer.

4. Presentations and Contributions to Academic Conferences and Workshops

The ENERGISE Consortium has committed to targeting high-profile academic conferences organised by national, European and international organisations that involve and represent sustainable consumption research communities. The ENERGISE Consortium are committed to delivering a target of 100 contributions to academic conferences to include oral and poster presentations as well as organising and chairing ENERGISE research sessions at scientific events.

The Project Manager, Gary Goggins, will maintain a calendar of international conferences and all ENERGISE WVP leaders will be asked to send the Project Manager details of academic events that may be of interest to all ENERGISE members. Given the interdisciplinary nature of the team, the relevant academic conferences and workshops identified by the team include geographical and sociological associations (e.g. RGS, AAG, ISA, ESA), Society for Ecological Economics, 4S Conference, European Association for the Study of Science and Technology (EASST), ERSCP and SCORAI.

While travel to conferences and other academic events is at the discretion of individual partners who have each budgeted for their own conference and workshop travel, all abstracts should be reviewed by the relevant lead within each Partner. To maintain our records, the partner leads should send the Project Manager details of the academic event attended including numbers in attendance, a copy of the accepted abstract and relevant slides/poster as appropriate. Records of all presentations should be sent to Gary Goggins every three months as part of the internal progress reporting structure, to assist NUIG in compiling Deliverable 7.11, a publically accessible 'Catalogue of all presentations and publications'.

By maintaining a central database of potential conferences and workshops the Project Coordinator and Project Manager can map out the different conference and workshop contributions and identify opportunities for dedicated ENERGISE sessions based on participation by team members. They can also identify conferences, other H2020 workshops or academic events that may benefit from representation by a member of the ENERGISE team. The final ENERGISE international conference (M36) will be a multi-stakeholder event and in addition to policy related sessions, it could be linked to conference papers, published articles or an edited collection with potential contributions from all 10 ENERGISE partners.

5. Dissemination of Research

During the Project, and for a period of 1 year after the end of the Project, the dissemination of own Results by one or several Parties including but not restricted to publications and presentations, shall be governed by the procedure outlined in Article 29.1 of the Grant Agreement.

Prior notice of any planned publication shall be given to the other Parties at least 45 calendar days before the publication. Any objection to the planned publication shall be made in accordance with the Grant Agreement in writing to the Co-Ordinator and to the Party or Parties proposing the dissemination within 30 calendar days after receipt of the notice. If no objection is made within the time limit stated above, the publication is permitted.

An objection is justified if

- (a) the protection of the objecting Party's Results or Background would be adversely affected
- (b) the objecting Party's legitimate interests in relation to the Results or Background would be significantly harmed.

The objection has to include a precise request for necessary modifications.

- 1) If an objection has been raised the involved Parties shall discuss how to overcome the justified grounds for the objection on a timely basis (for example by amendment to the planned publication and/or by protecting information before publication) and the objecting Party shall not unreasonably continue the opposition if appropriate measures are taken following the discussion.
- 2) The objecting Party can request a publication delay of not more than 90 calendar days from the time it raises such an objection. After 90 calendar days the publication is permitted provided that any confidential information of the objecting Party has been removed from the Publication.

Dissemination of another Party's unpublished Results or Background

A Party shall not include in any dissemination activity another Party's Results or Background without obtaining the owning Party's prior written approval, unless they are already published.

Cooperation obligations

The Parties undertake to cooperate to allow the timely submission, examination, publication and defence of any dissertation or thesis for a degree that includes their Results or Background subject to the confidentiality and publication provisions agreed in this Consortium Agreement.

6. Principles of Publication

Good practice guidelines for ENERGISE consortium members concerning research design and implementation, ethics and data collection have been developed and published in Deliverable 1.1. In addition, 3 deliverables (D 9.1, D 9.2, D 9.3) will deal with ethics requirements. Standardised ethical guidelines and generally accepted principles for the publication and dissemination of the research results will be adhered to. These principles include:

- **Privacy and Confidentiality:** All information collected from individual participants and partnerships will remain private and confidential. Names and affiliations will be replaced by anonymising pseudonyms, unless respondents wish to be mentioned.
- **Respect:** The publication and dissemination of research will be carried out in full compliance with, and awareness of, local customs, standards, laws and regulations, especially given its cross-cultural nature and the engagement of facilitators from diverse academic backgrounds.

Principles and criteria for authorship and responsibilities for the ENERGISE Consortium will be agreed by the Programme Board in M7.

In the case of any conflict or dispute the issue shall be referred to the Programme Board and Work Package Leaders who shall enter into discussions to try and reach a settlement. (The full process for the settlement of any dispute in conflict is available in section 11.11 of the Consortium Agreement). However, in order to avert potential authorship related issues, all ENERGISE members are encouraged to communicate with other members in any case where they feel that clarity is required

around authorship. As outlined in Section 2, this strategy outlined involving all Programme Board members in the development and maintenance of ongoing lists of potential publications and publication outlets is envisioned as a means to minimise the possible overlaps, and controversies.

In addition, the following guidelines, adapted from the TRANSIT research project³, can offer guidance for ENERGISE researchers during M 3-7 and will be further discussed at the Programme Board meeting in M7:

- The first author is usually the person, regardless of seniority, who has conceived or contributed significantly towards conceiving the idea for the publication and who has taken the lead in overseeing the production of the publication.
- In joint or multi-authored papers, the order of authorship should reflect the relative contributions of various participants.
- Credit for authorship should be assigned to those who have inputted to the publication – this input can be substantial contribution to the writing, or in terms of data generated/case material and substantial comments.
- Investigators making equal contribution may take turns in claiming lead authorship.
- Anyone claiming authorship should be prepared to take responsibility for the findings, interpretations, and conclusions stated in the publication. The authors should be familiar with the overall publication and be in a position to declare their specific contribution to the effort.
- Any publication resulting from a team project must include a reference in the acknowledgments of those team members who may not have made substantial contribution to the paper, but who were involved in collecting data.

7. References to ENERGISE & Acknowledgement of EU

All publications will include the following text: "This project has received funding from the European Commission's Horizon2020 Programme under grant agreement no 727642. The views and opinions expressed in this paper/publication/report are the sole responsibility of the author(s) and do not necessarily reflect the views of the European Commission."

Where appropriate, publications (i.e. presentation slides) will display the EU emblem (http://europa.eu/about-eu/basicinformation/symbols/flag/index_en.htm). When displayed together with another logo, the EU emblem must have appropriate prominence.

Finally, all of the ENERGISE Consortium have been made aware of the consequences of non-compliance and are aware that if a partner fails to appropriately reference ENERGISE or omits acknowledgement of the EU, the grant may be reduced.

³ TRANSIT (2014) *Plan for scientific coordination and dissemination*. TRANSIT Deliverable D1.3, TRANSIT: EU SSH.2013.3.2-1 Grant agreement no: 613169