


Name of Policy: Guidelines on Authorship Policy Number: 3364-71-XX Approving Officer: President Responsible Agent: Vice-Provost for Graduate Affairs and Dean, College of Graduate Studies; Provost and Executive Vice President for Academic Affairs Scope: All scholarly activities carried out by faculty, staff, and students at the University of Toledo.		 Original effective date:	
Key words:			
<input checked="" type="checkbox"/>	New policy proposal	<input type="checkbox"/>	Minor/technical revision of existing policy
<input type="checkbox"/>	Major revision of existing policy	<input type="checkbox"/>	Reaffirmation of existing policy

(A) Policy statement

Our institution’s academic mission emphasizes the importance of the creation and dissemination of new knowledge through publications, creative work, intellectual property, and other discipline-specific scholarly activities. Assigning credit and appropriate recognition for scholarly work through authorship is a priority of the University of Toledo.

(B) Purpose of policy

To establish general guidelines for authorship in scholarly work and to outline a process for authorship disputes at the University of Toledo.

(C) Scope

These authorship guidelines are applicable to any scholarly activities (e.g., publications, creative expressions, presentations) carried out by faculty, staff, and students at the University of Toledo.

(D) Procedure

The University of Toledo strongly recommends that discussions of authorship occur at the initiation of new projects and when roles or responsibilities change during the course of the project. The project lead or principal investigator has the responsibility to ensure that all scholarly work is accurately reported and that apportioning of credit for the work accomplished is equitable and in conformance with best practices, recognizing the existence discipline-specific conventions regarding authorship and attribution. Explicitly stating the role and contribution of each author will enhance the transparency and credibility of the work as well as accurately assign credit for purposes of individual and collective academic advancement.

Authorship should be based on the following general criteria: (i) substantial intellectual contribution to conception, design, or execution of the work (including data analysis); (ii) drafting or revising the work for important content; and (iii) final approval of the version to be published. Each co-author should have the ability to identify their contribution to the scholarly work, to identify the significance of the contributions of each author, and to accept responsibility for its integrity and credibility. Individuals who do not meet all of these criteria may be acknowledged as contributors to the work. The primary author generally has the greatest understanding of the project, completed most of the work, and takes responsibility for the integrity of the work as a whole. In addition, primary authors are encouraged to keep a record of how decisions about authorship order and inclusion were made.

- a. Acquisition of financial sponsorship, donation of gift funding, or receipt of materials does not constitute criteria for authorship. Individuals who do not meet the recommended requirements for authorship, but have provided a valuable contribution to the work, should be acknowledged for their contributing role as appropriate to the publication.
- b. Guest, gift and ghost authorship are inconsistent with the definition of authorship. Guest or gift authorship (i.e., honorary, courtesy or prestige authorship) is granting authorship to an individual who does not meet the definition of author out of appreciation or respect for the individual, or in the belief that the expert standing of the guest will increase the likelihood of publication, credibility, or status of the work. Ghost authorship occurs when an individual is not named an author or acknowledged but makes significant contributions to the work.

Authorship disputes are considered academic matters at the University of Toledo. When co-authors cannot address disagreements through collegial resolution, they should seek guidance from a third party (e.g., department chair, senior colleague) acceptable to all parties. If no resolution can be reached at the local level, the matter should be forwarded to the dean(s) of the appropriate colleges for external guidance. Students are encouraged to seek advice from the Office of Student Advocacy and Support. If a resolution is reached, the agreement must be documented, signed by all parties, and a copy should be sent to the Office of the Provost. If agreement cannot be reached to the satisfaction of all parties, the matter will be referred to Provost's Office.

Within twenty-five (25) working days, the Provost or representative will establish a committee comprised of at least three faculty members. If one of the parties is without faculty rank (e.g., student, postdoctoral researcher, or research staff), the committee shall also include at least two representative individuals. The majority of the committee shall be comprised of faculty engaged in scholarship, at least one of whom is outside the discipline of the parties in the dispute. Committee members may include non-tenure-track faculty, students, or administrators. The committee will receive written representations from all who claim to be co-authors in the dispute. All who claim to be co-authors must be notified at last known contact information by the University and given the opportunity to present their case in writing within ten (10) working days. After the committee meets to review the submitted materials, a written report including a majority decision will be communicated to the Provost. The Provost will provide a written summary of the committee decision to the parties involved within fifteen (15) working days of receiving the final decision. This decision will be final.

Authorship disputes that involve research misconduct as defined in the University Policy on integrity in research and procedures for investigating allegations of misconduct (#3364-70-21) must be referred to and addressed by the University of Toledo Research Integrity Officer (RIO). Authorship disputes that do not meet the definition of research misconduct but still demonstrate that there was inappropriate conduct as it related to authorship should refer to the University Policy on Standards of Conduct (#3364-25-01).

<p>Approved by:</p> <p>_____</p> <p>Gregory Postel, MD Interim President</p> <p>_____</p> <p>Date</p> <p><i>Review/Revision Completed by:</i></p>	<p>Policies Superseded by This Policy:</p> <ul style="list-style-type: none"> • • • <p>Initial effective date: Review/Revision Date: Next review date:</p>
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