

<p>Name of Policy: Guidelines on authorship</p> <p>Policy Number: 3364-71-29</p> <p>Approving Officer: President</p> <p>Responsible Agent: Vice Provost for Graduate Affairs and Dean, College of Graduate Studies; Provost and Executive Vice President for Academic Affairs</p> <p>Scope: All University of Toledo campuses</p>	 <p>Effective date: June 27, 2022</p> <p>Original effective date: June 27, 2022</p>								
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(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 research and 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 or research activity (e.g., publications, creative expressions, presentations or the disciplinary equivalent) carried out by faculty, staff, and students at the University of Toledo. The term scholarly activity also includes research activities.

(D) Publication & Authorship

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 project. The project lead, principal investigator, corresponding author, or equivalent should ensure that procedures for resolving detailed concerns, such as the timing of presentations or publications, order of authorship, and privilege of presenting results at meetings, be discussed with research team members to the extent feasible at the beginning and throughout the scholarly activities as needed and as part of on-boarding new members to the research group or 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 these criteria may be acknowledged as contributors to the work. The primary or corresponding 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.

1. 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.
2. 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. Guest authorship is often given out of appreciation or respect for the individual, in the belief that the expert standing of the co-author will increase the likelihood of publication, credibility, or status of the work, or to assist junior colleagues, students, or mentees to further their careers.
3. Ghost authorship is the opposite of honorary or gift authorship when an individual is not named an author or properly acknowledged but makes significant contributions to the work. A role in writing or editing a manuscript, poster, or presentation without a contribution to the intellectual endeavor that constitutes the work may not arise to inclusion as an author under these guidelines. Individuals who meet the criteria of authorship should be listed as an author or otherwise have their contribution properly acknowledged in the publication. Egregious occurrences of ghost authorship may constitute research misconduct. The definition of an author for copyright purposes may differ from scholarly norms and should be considered separately.
4. The primary or corresponding author or equivalent must ensure that all co-authors on publications or presentations have been informed of their inclusion as authors and that all authors have reviewed materials prior to publication and presentation. Failure to do so could constitute research misconduct. The primary or corresponding author or equivalent should make efforts to notify other individuals who are acknowledged in the publication or presentation as to the nature and extent of their acknowledgement.

(E) Authorship Disputes

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 the Provost's designee 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. Most 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 seek written statements 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 10 business days of letters being sent from the Committee..

After the committee meets to review the submitted materials, a written report including a majority decision will be communicated to the Provost within 15 working days. 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. The Provost's 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).

(F) Disclosures & Affiliations

Authors should acknowledge the sources of support for all activities leading to and facilitating preparation of the presentation, publication or manuscript, including, but not limited to grant, contract, gift support; salary support, if other than institutional funds; and technical or other support if substantive and meaningful to the completion of the project. Authors should fully disclose related financial and other interests and outside activities in publications and comply with the disclosure requirements of the University's Conflict of Interest Committee as appropriate. University policy 3364-70-01, Financial Conflict of Interest provides further guidance.

University faculty, staff and other employees with 50% employment or greater must list their affiliation with the University of Toledo, with the name of the institution written out in full, as their primary affiliation in their by-line on any research or scholarly output conducted or performed during their employment at the University. Students, full or part-time, must list their affiliation with the University of Toledo, with the name of the institution written out in full, as their primary affiliation in their by-line on any research or scholarly output conducted or performed through the University. In these cases, if multiple affiliations exist, the University of Toledo must be listed first. This requirement also applies to research and scholarly activity conducted primarily at the University and published after faculty, staff or students have left the institution unless the publication, presentation, or sponsor requires otherwise.

<p>Approved by:</p> <p>/s/ Gregory Postel, MD President</p> <p><u>June 27, 2022</u> Date</p> <p><i>Review/Revision Completed by:</i> Vice Provost for Graduate Affairs and Dean, College of Graduate Studies; Provost and Executive Vice President for Academic Affairs; Senior Leadership Team</p>	<p>Policies Superseded by This Policy:</p> <p><i>None</i></p> <p>Initial effective date: June 27, 2022</p> <p>Review/revision date: NA</p> <p>Next review date: June 27, 2025</p>
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