

UNITED TRIBES TECHNICAL COLLEGE

Policy Approval Request

Section I: Approval

1. Title: Authorship for Scholarly and Scientific Publications Policy

Section II: Summary

Determining authorship is an important component of upholding the integrity of research and scholarly enterprise and serves as an explicit way of assigning responsibility and giving credit for intellectual work. The purpose of this policy is to ensure research authorship is identified fairly and according to standard research protocol for all the researchers at UTTC, including the faculty, staff, students, and research assistants.

Section III: Rationale

Authorship matters because the entire research and publication process relies on trust. Authorship conveys significant privileges, responsibilities, and legal rights. Those who have actively contributed to the work, and they alone, should benefit from the positive aspects of being an author and being accountable for all aspects of the research. Likewise, all those individuals who have made significant contributions should have the opportunity to be included as authors, as appropriate depending on discipline and/or journal guidelines.

Section IV: Policy

Determining authorship is an important component of upholding the integrity of research and scholarly enterprise and serves as an explicit way of assigning responsibility and giving credit for intellectual work. Authorship credit should be given to those who contribute and participate in substantive ways to scholarly and scientific work and should honestly and accurately reflect actual contributions. Fair and equitable determination of authorship is important to the reputation, academic promotion, and funding support of the individuals involved, and to the strength and reputation of the authors' respective institutions. Ideally, discussions of authorship and the sequence of listing authors on a paper will be held early in the research process.

Accordingly, all scholarly or scientific publications involving faculty, staff, students, or research assistants arising from academic activities performed under the auspices of United Tribes Technical College (UTTC) will include appropriate attribution of authorship and disclosure of relevant affiliations of those involved in the work. These publications, which include articles, abstracts, posters, manuscripts submitted for publication, presentations at professional meetings, must appropriately and fairly acknowledge contributions of colleagues involved in the design, conduct or dissemination of the work by neither overly attributing contribution nor ignoring meaningful contributions.

Authorship Standards

Authorship of scholarly or scientific publication should be limited to those individuals who have contributed in a meaningful and substantive way to its intellectual content. All authors are responsible for fairly evaluating their roles in the project as well as the roles of their co-authors to ensure that authorship is attributed according to these standards in all publications for which they will be listed as an author. If a researcher determines that part or the whole of a project is worthy of development of a manuscript, it is expected they will communicate with all other parties who contributed to the project about their plans, selection of journal, and drafts of the manuscript.

Requirement for Attribution of Authorship

Authorship credit is based on the following criteria and must include all three of these components:

1. Substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data.
2. Drafting the article or revising it critically for important intellectual content; and
3. Final approval of the version to be published.

Authorship is limited to those who have made a significant contribution to the concept, design, execution, or interpretation of the research study. Acquisition of funding, the collection of data, or general supervision of the research group, by themselves, do not justify authorship.

Lead Author

Authorship discussions are often initiated by the lead author, the individual who is responsible for overall oversight of the project. In some fields, this person may be referred to as the “senior,” “corresponding,” “first,” or “anchor” author. The lead author on a project should strive to maintain a collegial and open dialogue about authorship criteria, so that all contributors will feel welcome to raise questions about authorship at any point during the project.

Lead authors should devote particular attention to creating open dialogue with any student co-authors to ensure they feel welcome to raise questions about authorship criteria. The lead author assumes overall responsibility for the research effort, as well as providing a significant contribution to the manuscript development and publishing effort. The lead author ensures that all other authors meet the requirements for authorship and is responsible for the integrity of the work, making certain that reasonable care and effort has been taken to determine that all the data are complete, accurate, and reasonably interpreted.

Co-Author(s)

All co-authors are responsible for considering their role in the project and whether that role merits attribution of authorship. By providing consent for authorship to the lead author, co-authors acknowledge they meet the authorship criteria set forth in this Policy. A co-author

should have participated sufficiently in the work to take responsibility for appropriate portions of the content.

An individual retains the right to refuse co-authorship of a manuscript if he or she does not satisfy the criteria for authorship.

All co-authors of a publication are responsible for:

- **Authorship:** By providing consent to authorship to the lead author, co-authors acknowledge that they meet the authorship criteria set forth in this Policy. A co-author should have contributed sufficiently to the work to take responsibility for appropriate portions of the content.

Approval: By providing consent to authorship to the lead author, co-authors are acknowledging that they have reviewed and approved the manuscript.

- **Integrity:** Each co-author is responsible for the content of all appropriate portions of the manuscript, including the integrity of any applicable research.

Student Authorship

Authorship and other publication credits reflect actual scientific or professional contributions, regardless of an individual's profession, job, or institutional status. Undergraduate students are frequently valued members of research teams but are often not in a position to advocate for the recognition of their scholarly contributions to work conducted with or supervised by more senior level researchers. This policy is intended to ensure the student's level of authorship is appropriate for their role as the researcher.

The lead author is typically the lead researcher on the individual project, except in instances where they voluntarily agree not to be first author. At UTTC, the lead or first author is most often a student with their faculty mentor identified as second or last author. Any professional dissemination of work completed by a student should merit authorship if the student agrees to be listed as an author.

Authorship Order and Disputes

The order of authors is a collective decision of the authors or study group. This Policy does not address questions or disputes regarding the order of authorship on publications. While it is not possible for UTTC to define the order of authorship in every situation, this Policy advises that co-authors in conjunction with the lead author discuss authorship order at the onset of the project and revise their decision as needed. All authors must work together to make these informed judgments.

Should authors fail to resolve disputes about the order of authors, this Policy suggests the affected individual seek counsel from his or her department chair or dean. The appropriate department or division leadership should mediate to resolve the dispute.

Determinations of authorship roles are often complex, delicate, and potentially controversial. To avoid confusion and conflict, discussion of attribution should be initiated early in the development of any collaborative publication. For disputes that cannot be resolved amicably, individuals may seek the guidance of the Vice President of Academic Affairs.

Acknowledgements

Individuals who do not meet the requirements for authorship but who have provided a valuable contribution to the work should be acknowledged for their contributing role as appropriate to the publication but should not be identified as authors. These individuals should be listed in an acknowledgment or contributorship section of the work.

Acknowledgments are acceptable and appropriate for administrative relationships, acquisition of funding, collection of data or general supervision of a research group since these alone do not constitute authorship.

Unacceptable Authorship

UTTC encourages proper forms of authorship to serve as ideal role models for its students, staff and faculty. Accordingly, guest, gift and ghost authorship are inconsistent with the definition of authorship and unacceptable under this Policy.

- Guest 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 expert standing of the guest will increase the likelihood of publication, credibility, or status of the work.
- Gift authorship is credit, offered from a sense of obligation, tribute, or dependence, within the context of an anticipated benefit, to an individual who has not contributed to the work (*i.e.*, senior faculty, department chair or dean, principal investigator/project director).
- Ghost authorship is the failure to identify as an author someone who made substantial contributions (*i.e.*, meeting the definition of authorship) to the research or writing of a manuscript.

Violations of this Policy

Intentional or reckless violations of this policy may be considered plagiarism and may subject the individual to corrective action or other sanctions as deemed appropriate by the Vice President for Academic Affairs. Disagreements regarding the order of authorship do not, in and of themselves, constitute a violation of this policy.

References

Authorship Guidelines for CAES Faculty Collaborating with Students College of Agriculture and Environmental Sciences. https://ncat.edu/caes/agricultural-research/undergraduate-research-scholars-program/documents/caes-authorship-guidelines_update-nov2019.pdf Accessed: November 2023.

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The American Physical Society. Guidelines for professional conduct. Available at: http://www.aps.org/policy/statements/02_2.cfm Accessed: November 2023.