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CHAPTER 12 - MISCELLANEOUS

AUTHORSHIP ATTRIBUTION No. 12-70-010

Effective Date: February 12, 2008

1. General

The purpose of this policy is to ensure proper assignment of credit and responsibility for published work and presentations. It applies to all types of scholarly writing including but not limited to authorship of theoretical papers, review papers, case histories, book chapters and books. It also applies to presentations of research or other scholarly work. Authorship identifies those individuals who deserve primary credit and hold primary responsibility for a published or presented work. Because scholarly activity as evidenced by publication or presentation of original work is a major area in which faculty are evaluated for appointment, promotion, tenure and research funding, the criteria used to determine authorship are of critical concern.

2. Assignment of Credit

All individuals contributing intellectually to a publication should be acknowledged. While technical contributions may not necessarily require acknowledgment, a substantial intellectual contribution must be recognized by inclusion of the individual's name as an author. In the case of publications or presentations describing original research findings, such substantial intellectual contributions include those persons who:

- A. Formulate the problem or hypothesis;
- B. Conceive of or design the experiment, proposed analysis, or interpretation of data;
- C. Organize and analyze data;
- D. Interpret the results; or
- E. Write a major portion of the paper or presentation, and/or review or revise it for intellectual content.

A substantial contribution to one or more of these activities is generally considered sufficient for authorship. An individual whose contribution consists solely of developing unique materials or techniques might also be listed as an author if those materials or techniques were developed specifically for the project and represent a major contribution to the overall project. If the manuscript is based upon a funded project (a federal or regional peer reviewed grant), the principal investigator will have the responsibility of assigning the order of authorship. In situations where several individuals make major contributions to a publication or presentation, the individual who made the principal contribution is the senior author and should be listed either as the last author or the first. Instances in which authorship order does not reflect relative contributions (e.g., alphabetical listing of author names) should be explained in a footnote.

Minor contributions may or may not warrant authorship. When the decision is that they do not warrant authorship, they should be gratefully acknowledged in the text or in a footnote. Although a minor contribution might be considered sufficient for authorship, authorship might be justified if the completion several minor tasks by an individual constituted a major contribution to the overall project.

In order to avoid potential conflicts regarding authorship, members of the research group should discuss authorship and authorship order before beginning any specific research project. Primary responsibility for initiating such discussions rests with the individual who will, guided by the principles elucidated above, make the principal contribution to the published or presented work.

3. Acceptance of Responsibility

By accepting credit for a publication or presentation, authors also accept responsibility for the content of the work. All authors must share responsibility for ensuring:

- A. The accuracy of the content of the publication or presentation;
- B. That proper acknowledgment is given (via specific citations) for published or unpublished materials that directly influenced the writing or research;
- C. That no component of the publication or presentation has been plagiarized;
- D. That all institutional and other requirements were met for protecting human or animal subjects used in completing the work; and
- E. That possible conflicts of interest (e.g., industry relationships) are acknowledged in the text or in a footnote.

The senior author has primary responsibility for addressing these issues.

4. Student Authorship

Students who participate in scholarly activity under the supervision of a faculty member should be listed as an author if they make a substantial contribution to the published or presented work as defined by the criteria outlined above. In instances where a major portion of the publication comprises a student's thesis work, the student should be listed as first author.

5. Assigning Authorship Credit And Responsibility

In assigning authorship credit and responsibility, the following points must be considered. The senior author bears primary responsibility for addressing each of these items.

- A. Consent must be received from all individuals named as authors;
- B. The senior author is generally responsible for determining order of authorship and must ensure that major and minor contributions are appropriately acknowledged;
- C. All those listed as authors must examine the content of the manuscript and give their approval before it is submitted for publication or presentation. In addition, all authors must be notified about editorial decisions and, if revisions are required, must give their approval before the revised manuscript is submitted for publication. A copy of the manuscript and all editorial correspondence must be given to all authors;
- D. All authors must be notified about editorial decisions and, if revisions are required, must give their approval before the revised manuscript or presentation is submitted; and
- E. A copy of the manuscript or presentation and relevant editorial correspondence must be given to all authors.

When authorship concerns arise, authors are strongly encouraged to seek the advice of colleagues who have not participated in the scholarly activity being reported in the manuscript. Generally, this would involve the department chair, institute director, research dean, or an individual in a similar leadership position.

6. Relationship to Other OHSU Policies

Alleged violations of the Authorship Attribution Policy that appear to represent scientific misconduct (i.e., fabrication, falsification, plagiarism) shall be referred to the Scientific Integrity Committee. All other alleged violations (e.g., failure to assign proper authorship credit) shall be referred to the Provost.

7. Investigation and Resolution of Disputes

A. When disagreements arise regarding proper assignment of authorship credit, the Provost will designate an appropriate person to review the matter. When the publication or presentation relates to research, the Provost will coordinate selection of the reviewer with the Vice President for Research. This reviewer will collect information from the parties in dispute, seek internal consultation from other experts as needed, and make a recommendation to the Provost (or Provost and Vice President for Research) for OHSU's decision regarding the matter. Internal experts from whom consultation may be sought will have expertise in the area of the scientific work and will have a demonstrated record of senior authorship him/herself. The review process will proceed in a timely manner so as not to unnecessarily delay publication or presentation of the work.

B. The Provost (or Provost and Vice President for Research) will accept, reverse, or remand for further deliberations the recommendation of the reviewer.

C. The Provost shall advise the parties in dispute of OHSU's determination in the matter.

D. The senior author of the publication or presentation will make the final decision as to authorship. If the senior author disagrees with OHSU's determination, the journal or presentation venue must be advised of OHSU's determination.

Background:

- **Formerly Policy No. 04-35-005 (renumbered 3/9/05)**

Implementation date: January 26, 1998

Revision dates: July 8, 1999; March 9, 2005

Related policies, procedures and forms:

Responsible office: Provost
