



AUTHORSHIP

“THE NAMES THAT APPEAR AT THE BEGINNING OF A PAPER SERVE ONE IMPORTANT PURPOSE. THEY LET OTHERS KNOW WHO CONDUCTED THE RESEARCH AND SHOULD GET CREDIT FOR IT. LIKEWISE, THE CREDIT DERIVED FROM PUBLICATIONS IS USED TO DETERMINE A RESEARCHER’S WORTH.”

OFFICE OF RESEARCH INTEGRITY
INTRODUCTION TO RESPONSIBLE CONDUCT OF RESEARCH



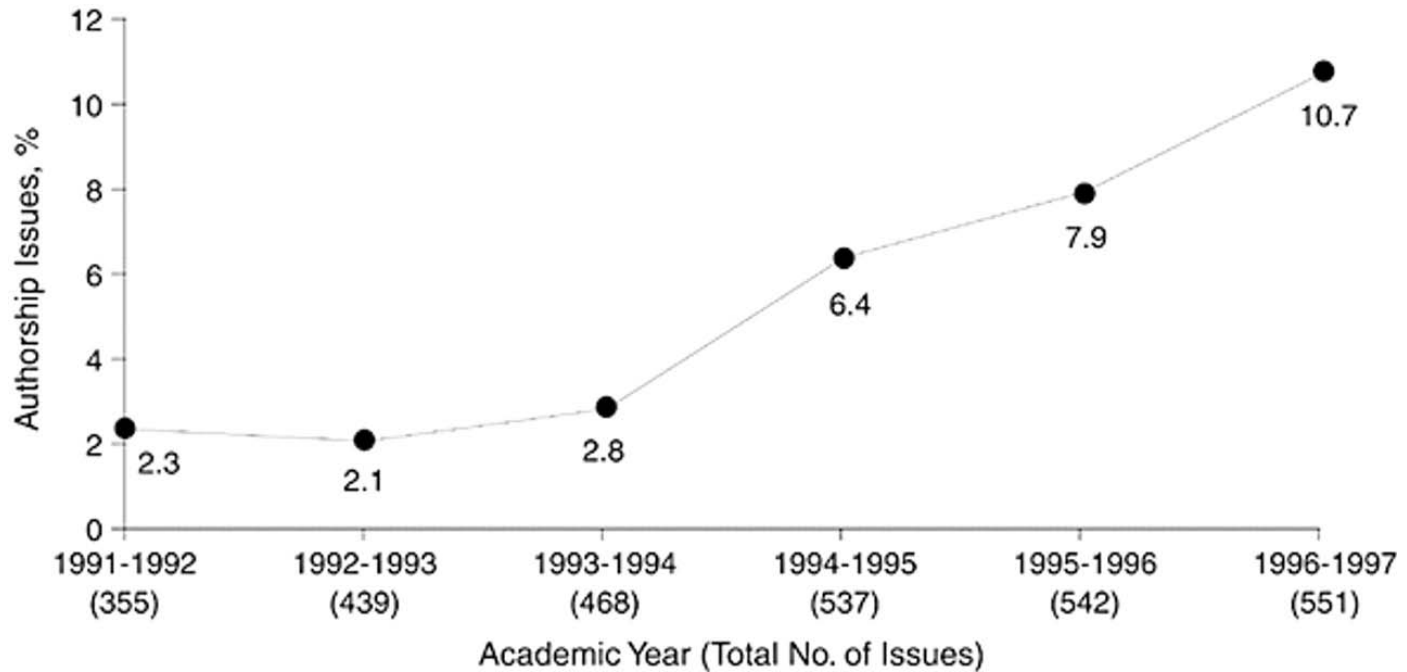
WHO THOUGHT OF IT?

WHO THOUGHT OF IT FIRST?


WHO DID THE WORK?

WHO SHOULD GET THE CREDIT?

WHO IS RESPONSIBLE? AND FOR
WHAT?




Wilcox, L. J. JAMA 1998;280:216-217.

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- A large black left bracket and a large yellow right bracket are positioned at the top of the slide. A horizontal line, colored light green on the left and yellow on the right, spans the width of the slide below the brackets.
- (1) "I WAS PROMISED FIRST AUTHORSHIP WHEN I COMPLETED A PROJECT. WHEN THE WORK WAS DONE, AND WITHOUT INFORMING ME, THE PRINCIPAL INVESTIGATOR ADDED THE WORK OF SOMEONE ELSE WHO WAS MADE FIRST AUTHOR."
 - (2) "A FELLOW IS DEMANDING FIRST AUTHOR POSITION BUT THE CONTRIBUTION WAS PRIMARILY IN IMPLEMENTING THE EXPERIMENTS, NOT IN CREATING THE DESIGN OR WRITING." AND
 - (3) "AFTER I LEFT MY LAB, I GOT NO CREDIT FOR THE PROJECTS AND ARTICLES THAT USED MY WORK."

AUTHORSHIP ISSUES

- WHOSE NAMES SHOULD APPEAR?
- IN WHAT ORDER?
- WHAT CRITERIA, IF ANY, ARE *SUFFICIENT* (I.E., IN THE ABSENCE OF ANY OTHER CONTRIBUTIONS) TO JUSTIFY BEING AN AUTHOR?
- WHAT CRITERIA, IF ANY, ARE *ABSOLUTELY ESSENTIAL* TO BE AN AUTHOR?
- WHO DECIDES? HOW ARE DISPUTES RESOLVED?

A decorative graphic at the top of the slide consists of a thin horizontal line with a light-to-dark green gradient. On the left end of this line is a large black left square bracket, and on the right end is a large yellow right square bracket.

NEARLY ALL ASPECTS OF AUTHORSHIP
AND PUBLICATION ARE COVERED
ONLY BY GUIDELINES AND
UNSPOKEN CUSTOM.

AUTHORSHIP GUIDELINES: ICMJE

VANCOUVER GROUP, 1978

COMMONLY ACCEPTED GUIDELINES FOR
MANUSCRIPTS SUBMITTED FOR PUBLICATION

NOW SUBSCRIBED TO BY OVER 500 JOURNALS

GUIDELINES ON MANY ASPECTS OF
PUBLICATION, INCLUDING AUTHORSHIP:
[HTTP://ICMJE.ORG](http://icmje.org)

AUTHORSHIP GUIDELINES: ICMJE - BASICS

ALL PERSONS DESIGNATED AS AUTHORS SHOULD QUALIFY FOR AUTHORSHIP; ALL THOSE WHO QUALIFY SHOULD BE LISTED


EACH AUTHOR SHOULD HAVE PARTICIPATED SUFFICIENTLY IN THE WORK TO TAKE PUBLIC RESPONSIBILITY FOR APPROPRIATE PORTIONS OF THE CONTENT

ONE OR MORE AUTHORS SHOULD TAKE RESPONSIBILITY FOR THE INTEGRITY OF THE WORK AS A WHOLE, FROM INCEPTION TO PUBLISHED ARTICLE.

ICMJE AUTHORSHIP GUIDELINES: NECESSARY

AUTHORSHIP CREDIT BASED ONLY ON:

- ✓ SUBSTANTIAL CONTRIBUTIONS TO *CONCEPTION AND DESIGN*, OR *ACQUISITION OF DATA*, OR *ANALYSIS AND INTERPRETATION* OF DATA
- ✓ *DRAFTING* THE ARTICLE *OR REVISING* IT CRITICALLY FOR IMPORTANT INTELLECTUAL CONTENT; AND
- ✓ *FINAL APPROVAL* OF THE VERSION TO BE PUBLISHED

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- 21% OF AUTHORS OF BASIC SCIENCE PAPERS
 - 30% OF AUTHORS OF CLINICAL STUDIES:
 - NO INVOLVEMENT IN THE CONCEPTION OR DESIGN OF A PROJECT, THE DESIGN OF THE STUDY, THE ANALYSIS AND INTERPRETATION OF DATA, OR THE WRITING OR REVISIONS.

ICMJE AUTHORSHIP GUIDELINES: INSUFFICIENT

THE FOLLOWING ARE GENERALLY INSUFFICIENT
GROUNDS BY THEMSELVES FOR AUTHORSHIP:

ACQUISITION OF FUNDING

COLLECTION OF DATA

GENERAL SUPERVISION OF THE
RESEARCH GROUP

ORDER OF AUTHORS

WHILE THE SIGNIFICANCE OF A PARTICULAR ORDER MAY BE UNDERSTOOD IN A GIVEN SETTING, ORDER OF AUTHORSHIP HAS NO GENERALLY AGREED UPON MEANING

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THE ICMJE REQUIREMENTS STATE:

“THE ORDER OF AUTHORSHIP ON THE BYLINE SHOULD BE A JOINT DECISION OF THE CO-AUTHORS. AUTHORS SHOULD BE PREPARED TO EXPLAIN THE ORDER IN WHICH AUTHORS ARE LISTED.”

AUTHORSHIP GUIDELINES: CONTRIBUTORSHIP MODEL

AUTHORSHIP TASK FORCE:

“TO HELP RESTORE A SENSE OF PROPORTION AND CONFIDENCE IN THE VALIDITY OF BIOMEDICAL PUBLICATION, THIS CONFERENCE PROPOSES A NEW STEP IN THE EVOLUTION OF THE CONCEPT OF AUTHORSHIP. WE PROPOSE TO PUBLISH THE CONTRIBUTIONS OF THE INDIVIDUALS ASSOCIATED WITH A MANUSCRIPT.”
(FRIEDMAN, 2000)

A new standard for authorship

by Paul J. Friedman, MD
University of California, San Diego

The goal of biomedical scientific publication is the dissemination of timely information to practitioners of the scientific and medical professions in order to help them in the challenge of discovery and the alleviation of human illness and suffering. The principal mechanism is the selection, editing, and publication of research articles and reviews of originality, interest, and utility. The entire profession supports these efforts by contributing manuscripts as writers, time as reviewers, and money as subscribers, and often by serving as editors. In turn, biomedical publication has come to serve the profession as the most dependable recognition of merit.

Publication has become the essential achievement for academic advancement for both clinical and basic scientists, although the type and number of publications demanded may vary widely. Despite a recent increased emphasis on teaching as a meritorious activity, faculty and trainees realistically feel intense pressure to publish. One unfortunate result has been a proliferation of papers and journals and a variety of abuses of trainees, junior colleagues, and patients, and of integrity.

To help restore a sense of proportion and confidence in the validity of biomedical publication, this conference proposes a new step in the evolution of the concept of authorship. We propose to publish the contributions of the individuals associated with a manuscript. The information will be solicited on a modified copyright form, which will be filled out and signed by all the authors. We propose a check-off list, such as the following:

AUTHORSHIP CONTRIBUTIONS

CONCEPT	the idea for the research or article, framing the hypothesis
DESIGN	planning the methods to generate results
SUPERVISION	oversight and responsibility for the organization and course of the project and the manuscript
RESOURCES	dollars, equipment, space, personnel vital to the project
MATERIAL	biological materials, reagents, referred patients
DATA COLLECTION &/or PROCESSING	responsibility for doing experiments, managing patients, organizing and reporting data
ANALYSIS &/or INTERPRETATION	responsibility for making sense of and presenting the results
LITERATURE SEARCH	responsibility for this necessary function
WRITING	responsibility for creating all or a substantive part of the manuscript
CRITICAL REVIEW	reworking the manuscript for intellectual content before submission, not just spelling and grammar checking
OTHER	for novel contributions

EXAMPLE OF AUTHORSHIP:

PIETRO SCILLIA, SOPHIA ABDEL KAFI,
CHRISTIAN MÉLOT, CAROLINE KEYZER,
ROBERT NAEIJE, AND PIERRE ALAIN
GEVENOIS (2001): OLEIC ACID-INDUCED
LUNG INJURY: THIN-SECTION CT
EVALUATION IN DOGS. RADIOLOGY
219:724-731.

AN EXAMPLE OF CONTRIBUTORSHIP

AUTHOR CONTRIBUTIONS: **STUDY CONCEPTS**, P.S., P.A.G.; **STUDY DESIGN**, S.A.K., P.S.; **LITERATURE RESEARCH**, P.S.; **EXPERIMENTAL STUDIES**, P.S., S.A.K., C.M., C.K., P.A.G.; **DATA ACQUISITION**, P.S., S.A.K., C.M., C.K., P.A.G.; **DATA ANALYSIS/INTERPRETATION**, P.S., S.A.K., R.N., P.A.G.; **STATISTICAL ANALYSIS**, P.S., C.M.; **MANUSCRIPT PREPARATION**, P.S.; **MANUSCRIPT EDITING**, P.S.; **MANUSCRIPT REVISION/REVIEW**, R.N., P.A.G.; **MANUSCRIPT FINAL VERSION APPROVAL**, ALL AUTHORS.

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CONTRIBUTORS:

L. A. SIMINOFF'S CONTRIBUTIONS INCLUDED OBTAINING FUNDING FOR THE STUDY, COLLECTING DATA, WRITING THE ARTICLE, AND DATA INTERPRETATION AND ANALYSIS.

L. R. M. HAUSMANN'S CONTRIBUTIONS INCLUDED WRITING THE ARTICLE AND DATA INTERPRETATION AND ANALYSIS.

S. IBRAHIM'S CONTRIBUTIONS INCLUDED WRITING THE ARTICLE AND DATA INTERPRETATION.

CONTRIBUTORS WHO DON'T QUALIFY AS AUTHORS

NIH INTRAMURAL GUIDELINES:

- "INDIVIDUALS WHO DO NOT MEET THESE CRITERIA BUT WHO HAVE ASSISTED THE RESEARCH BY THEIR ENCOURAGEMENT AND ADVICE OR BY PROVIDING SPACE, FINANCIAL SUPPORT, REAGENTS, OCCASIONAL ANALYSES OR PATIENT MATERIAL SHOULD BE ACKNOWLEDGED IN THE TEXT BUT NOT BE AUTHORS."

ACKNOWLEDGEMENT

CITATION

PERSONAL COMMUNICATION

AUTHORSHIP GUIDELINES: SOME MINIMAL STANDARDS?

- 1. EACH AUTHOR IS RESPONSIBLE FOR AT LEAST SOME OF THE CONTENT OF THE MANUSCRIPT
 - INCLUDING A REVIEW OF THE RAW DATA
- 2. ALL AUTHORS MUST HAVE
 - READ AND AGREED TO THE FINAL MANUSCRIPT BEFORE PUBLICATION
 - AGREED TO BE NAMED AS AN AUTHOR
- 3. EVERYONE WHO MEETS THE CRITERIA FOR AUTHORSHIP SHOULD BE INCLUDED AS AN AUTHOR
- 4. ALL AUTHORS MUST HAVE MADE A SUBSTANTIAL AND NEW CONTRIBUTION
- 5. CONTRIBUTORS WHO DO NOT QUALIFY FOR AUTHORSHIP SHOULD BE ACKNOWLEDGED

IN CONCLUSION – AUTHORSHIP

- AUTHORSHIP AND CREDIT HIGHLY VALUED
- DEFINITIONS OF AUTHORSHIP NOT UNIVERSALLY ACCEPTED
- AUTHORSHIP IS ONE OF MOST FREQUENT SOURCES FOR DISPUTES
- *TO DECREASE RISK OF PROBLEMS:*
 - *DISCUSS PLANS AND CRITERIA FOR AUTHORSHIP DURING START OF COLLABORATION*
 - *CONTINUE TO DISCUSS AS THE RESEARCH PROJECT EVOLVES*

Assume that you begin work now in an area of research that is of particular interest to you. Two years later, because of your prominent role in this project, the head of your research group asks you to draft a manuscript. You write the manuscript with yourself as first author, and the head of the research group as the second and last author. After she reads your draft, she makes many useful editorial changes to the manuscript, but also adds the names of four other members of the research group to the list of authors. Based on your understanding of authorship, you had listed these people in the acknowledgements section, but the head of your group argues that these people deserve credit as authors for their role as part of a team that works together with frequent research group meetings.

Contributed by Michael Kalichman Ph.D., 2008

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