AGENDA

Part I:

9:00-
10:25 AM

Introductions

Outline workshop goals

Theory of change model

Authorship policy

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Assessment
Office of Assessment
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HOLLY HOLLADAY-SANDIDGE

PhD Student
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Panelists

Ana Iltis, Ph.D.

Carlson Professor of University Studies

Professor, Department of Philosophy
Director, Center for Bioethics, Health & Safety, Wake Forest University

Elizabeth Heitman, Ph.D.

Professor, Program in Ethics in Science & Medicine

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Waseda University, Center for Higher Education Studies (CHES)

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Principal
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Professor
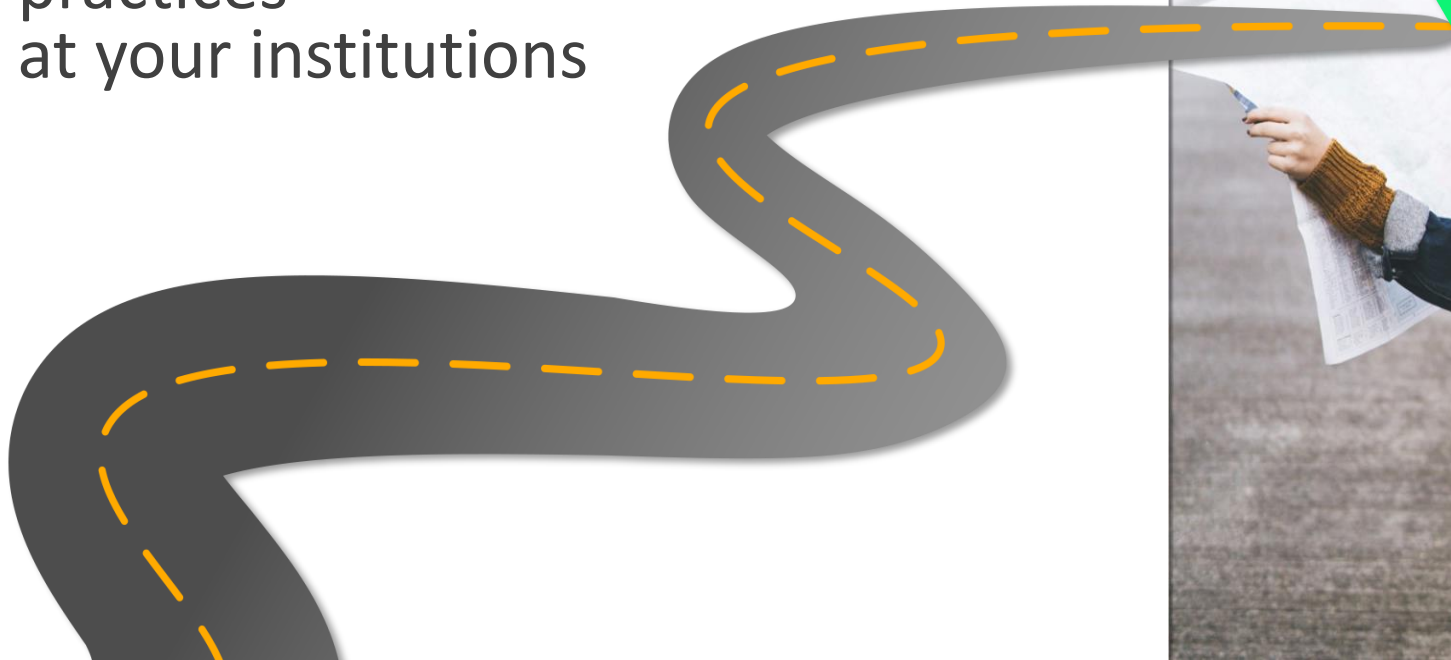Leopoldo de Meis Institute of Medical Biochemistry (IBqM), Federal University of Rio de Janeiro (UFRJ)

the authorship project

www.authorshipproject.org

Workshop goal

Provide a roadmap to facilitate open, transparent authorship practices
at your institutions

Existing research suggests...

40% of UK-based survey respondents report experiencing issues with others taking credit for their work[1]

53% of survey respondents in a global sample report authorship-related disagreements, either in naming or ordering[2]

58% of Norwegian survey respondents report having been involved in authorship disagreements[3]

only 27% of "first author" Japanese researchers surveyed met ICJME criteria for authorship[4]

1. Wellcome Trust report, 2020 (Figure 19, page 33); 2. Ni et al., 2021; 3. Nylenna et al., 2014; 4. Yukawa et al., 2014

Murky Waters: Real Stories of Academic Authorship

Theory of Change Model

MISSION:

Improve institutional ethical authorship culture.

Research Culture

Researcher Practice

Researcher Knowledge & Perceptions
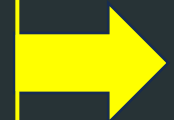
Incentivize the adoption of authorship agreements.

Increase visibility of leadership support.

Educate researchers on good practices.

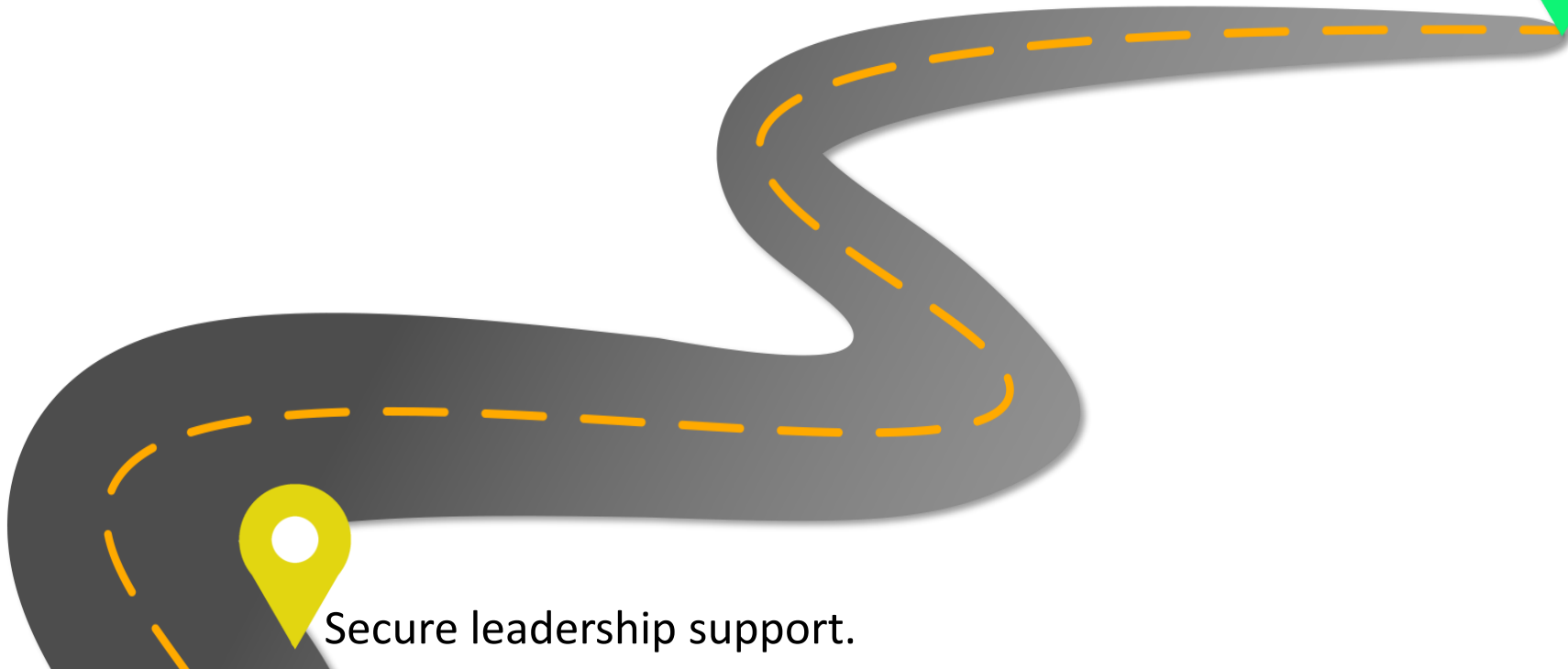Increase visibility of good practices.

Share an authorship experience with us!

Increasing the visibility of leadership support.

Stop #1

Secure leadership support.
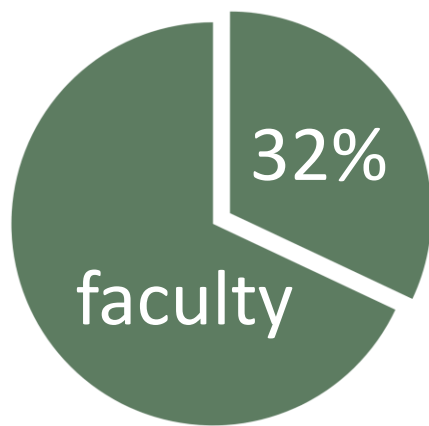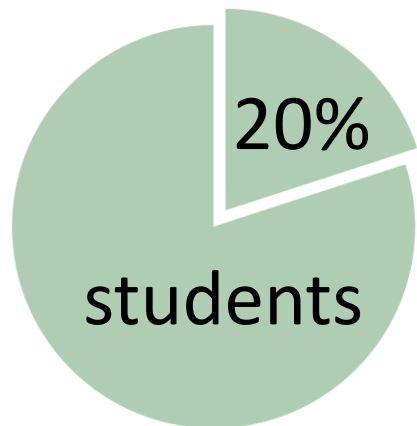
Stop #2

Conduct environmental scan.

Secure leadership support.

Author Naming Disagreement

20% students

32% faculty

Author Order Disagreement

27% students

41% faculty
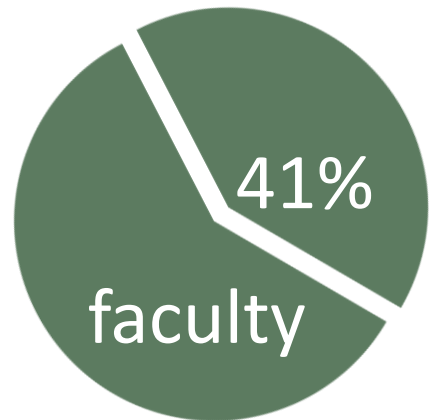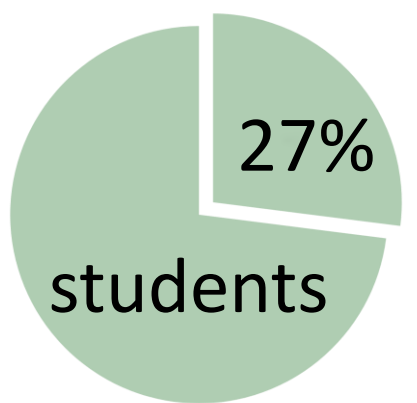
"I have had so many papers were [sic] I did the major [sic] of the work and even lead [sic] the project to have my name removed for some political or power reason. I...know many leave science because of it. It is unfair and destroyed careers of my peers as I climbed the ladder. Its [sic] not a few bad eggs [;] it is rampant. We must find a way to change it."

-professor

Disappointed in Authorship Naming Decision

17% — students

29% — faculty
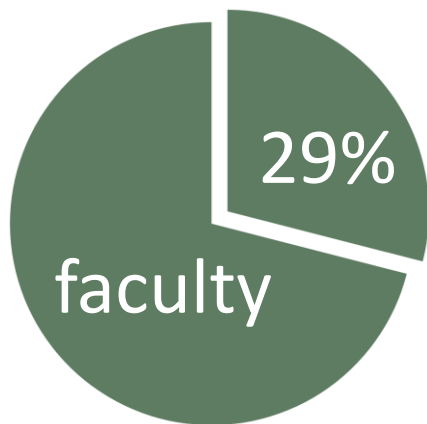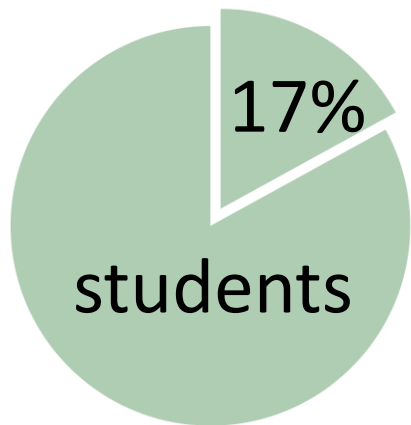
Disappointed in Order List Decision

24% — students

26% — faculty
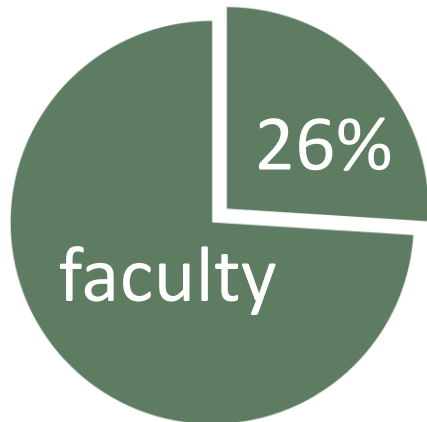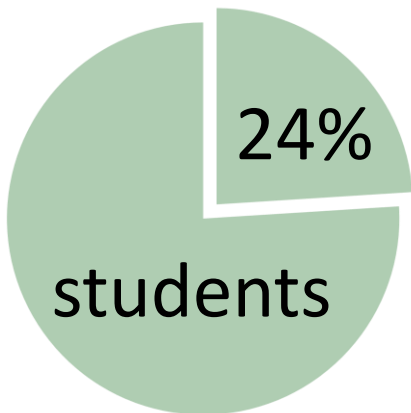
"I had been working on the project the longest and had been responsible for keeping it together -- as well as being the institutional memory and primary contact person for the project. There was a push at the end from the other team members to list names in alphabetical order--and I thought this was unfair as my name then appeared second[,] and the person who had been on the team the least amount of time was now first."

– professor

Stop #3

Conduct environmental scan.

Draft your policy.

Secure leadership support.
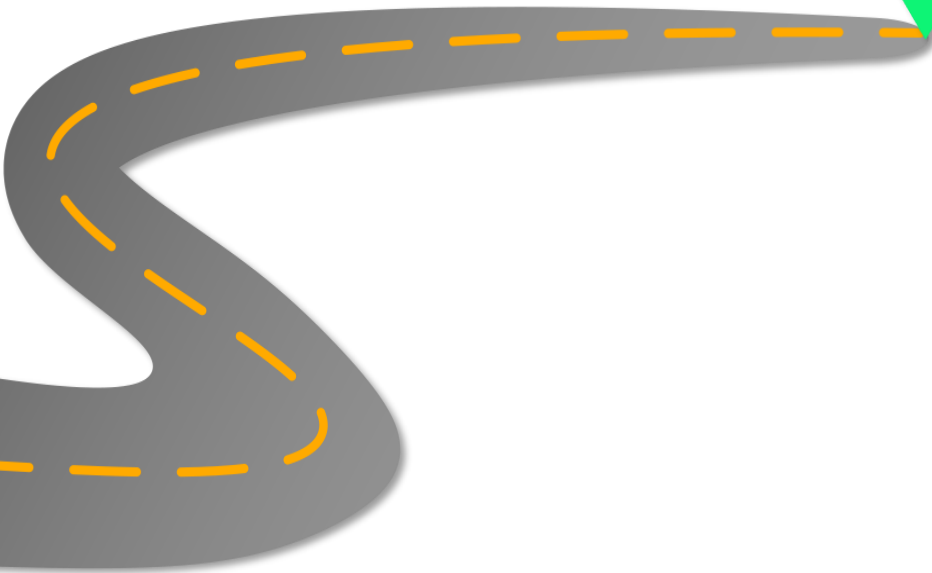
Stop #4

Conduct environmental scan.

Draft your policy.

Speak to different constituent groups.

Secure leadership support.

UNC Charlotte

Authorship Policy & Resolution Procedures

https://legal.charlotte.edu/policies/up-318

Table Discussion

1. What changes need to be made to our policy/process to fit your institution's specific context?

2. Identify 1 or 2 key problems to share/discuss at your table.   Strategize solutions.

3. Pick 1 problem from your table to share with the room.

BREAK

Please return by 10:40!

Authorship
 Agreements

Training

Marketing

Panel discussion

Key take-aways

Part II:
10:40AM -
NOON

Incentivizing the adoption of authorship agreements.

Our Authorship Agreement

Authorship Agreement

Authorship on a paper, presentation, or other scholarly work indicates a substantial contribution to a project and accountability for the results. Authorship decisions often affect reputations and careers, and they can be a source of tension, even within healthy collaborations. This tool may help to facilitate open, transparent communication about authorship decisions among collaborators.

Authorship is often best discussed as early as possible in a project. Research projects can be long and involved, and parts of a project may be disseminated at different times. As a result, authorship on each part or product may vary; for example, if a project leads to more than one publication, each may have a different first author or list of authors. Even if roles have not yet become clear, early conversations about authorship help to set expectations and to clarify the importance of open and honest discussion throughout the process. This agreement is meant to be a "living document"—one that can be revisited and changed as circumstances evolve over the course of a project.

Instructions.

The prompts and questions provided are designed to foster transparent conversations among collaborators in order to reach a shared set of expectations. All fields are required; however, acceptable answers include "not applicable" and "undetermined" if those responses best reflect the circumstances of your collaboration. A copy of this form should be distributed to all collaborators and/or stored in a shared location. If you plan multiple outputs (e.g., multiple publications; conference proceedings and articles, etc.) from one project, use a different form for each intended output. Please refer to University Policy #318: Authorship Policy and Resolution Procedures for additional information and resources.

Section 1.
Declaration of student project

Is this a thesis, dissertation, or other student-driven project?
○ Yes
○ No

For works derived substantially from student theses, dissertations, and other student-driven projects, a typical expectation is that the student should be listed as first author.

Is the student interested in pursuing dissemination of this project as an author?
○ Yes
○ No
○ Unsure

Section 2.
Project background & publication goals

Working project title and description.

Possible conferences/publication venues for submission.

Authorship guidelines to be used (e.g., American Psychological Association).*

Approximate timeline for/date of submission.

*See the CRediT Contributor Role Taxonomy form as a widely adopted example. Some publication venues may have specific authorship guidelines or requirements.

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Section 3.

Tentative author positions & tasks

Corresponding author:

Position	Name	Tasks/roles

[Add additional authors and contributors as needed. A supplementary page (page 4) with additional space is available.]

Section 4.

Acknowledgment of non-author contributors

Sometimes, contributions may warrant acknowledgment rather than authorship. Having conversations with contributors about acknowledging their contributions in final products is typically good practice.

Name & contribution	Has contributor agreed to acknowledgment?
	○ Yes ○ No
	○ Yes ○ No
	○ Yes ○ No

Section 5.

Non-responsive co-authors

Occasionally, someone initially involved in a project may cease to respond to communication about dissemination of results, despite interest in this pursuit amongst remaining collaborators. In such cases, collaborators may find it useful to set a timeframe within which they may hold each other accountable for communication.

If a co-author ceases to participate in discussions about dissemination within

_____ months*

of completion of a project, collaborators mutually agree that that person will not be included as a co-author.

*In most cases, twelve months is a reasonable expectation, but some cases may warrant more condensed timeframes.

Disputes.

Despite best efforts, authorship disputes may sometimes arise. This document may be helpful in resolving such disputes, but if not, additional suggestions may be found in University Policy #318: Authorship Policy and Resolution Procedures. The policy offers suggestions for informal resolution of disputes and outlines official steps for a more formal resolution.

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Section 6.
Changes to current agreement

Sometimes roles, responsibilities, and contributions change, resulting in the need to change who will be an author and in what order.

Describe at what project stages this agreement will be discussed again (e.g., at midpoint of data collection, after an initial draft is written, prior to first submission, after any revisions to a manuscript under review at a journal).

Describe what process will be used to make authorship changes (e.g., decision by first author after consultation with others; majority vote; etc.).

Section 7.
Other items discussed by the team

Addenda.

Space for additional authors and addenda to this document is available on the supplementary page (page 4) provided at the end of this file.

Section 8.
Acknowledgment of discussion

Space for collaborators' signatures and two contact email addresses is provided below. Collecting second/backup email addresses is important as projects sometimes last longer than anticipated, even after some collaborators have left the institution or graduated.

By signing, you acknowledge that you have received and agree with the authorship plan as outlined in this document. As noted, this document is not binding and is subject to change with the evolution of the collaborative project.

Signature _____ Date _____
e-mail 1: _____ e-mail 2: _____

Signature _____ Date _____
e-mail 1: _____ e-mail 2: _____

Signature _____ Date _____
e-mail 1: _____ e-mail 2: _____

Signature _____ Date _____
e-mail 1: _____ e-mail 2: _____

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Stop #5

Conduct environmental scan.

Draft your policy.

Introduce authorship agreements.

Speak to different constituent groups.

Secure leadership support.

Stop #6

Implement training.

Conduct environmental scan.
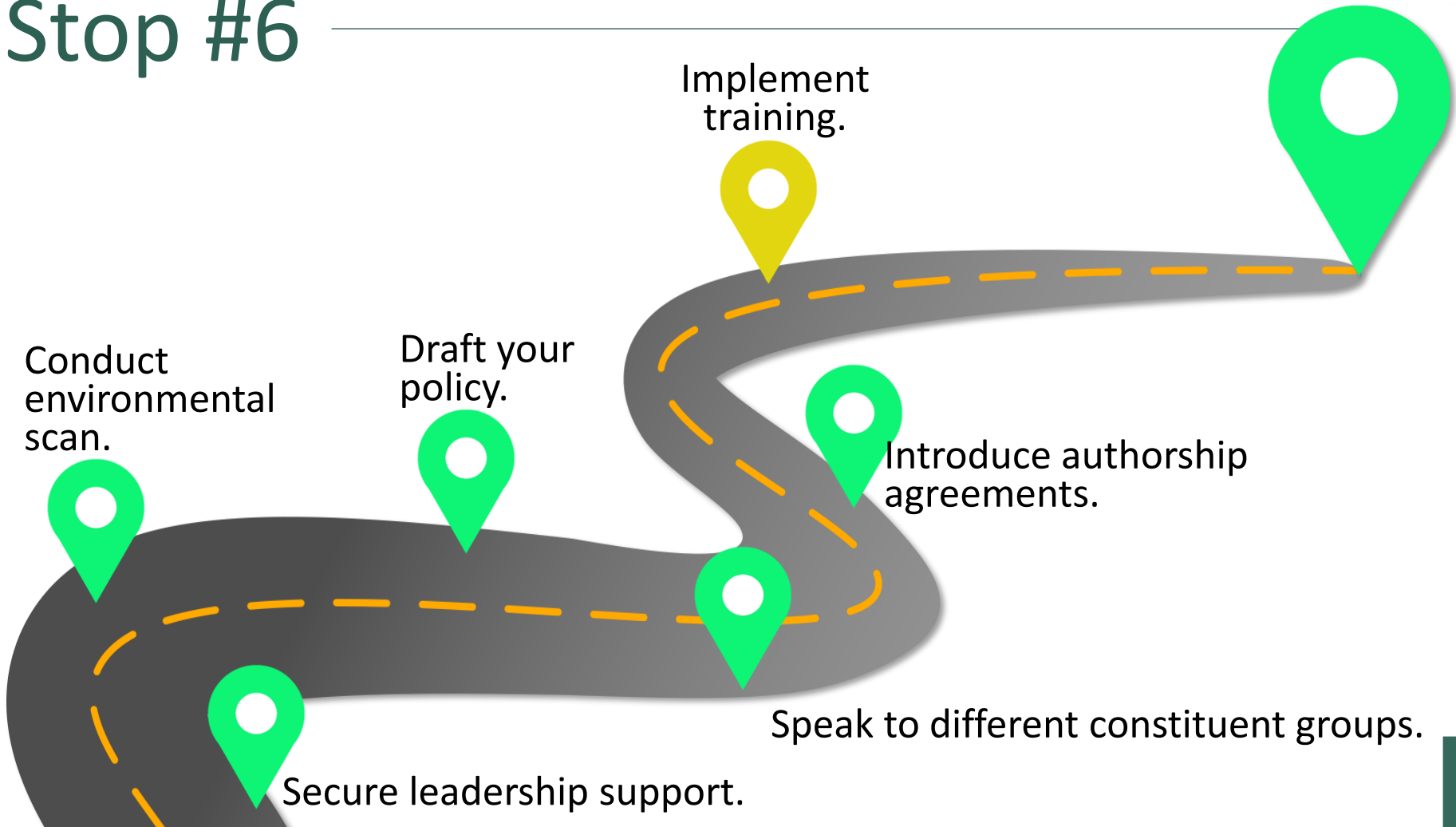
Draft your policy.

Introduce authorship agreements.

Speak to different constituent groups.

Secure leadership support.

Training courses

let's talk about *authorship.*

START

Academic Authorship Training

Stop #7

Implement training.

Market your tools.

Conduct environmental scan.

Draft your policy.

Introduce authorship agreements.

Speak to different constituent groups.

Secure leadership support.

SPREAD THE WORD

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PANEL REFLECTIONS
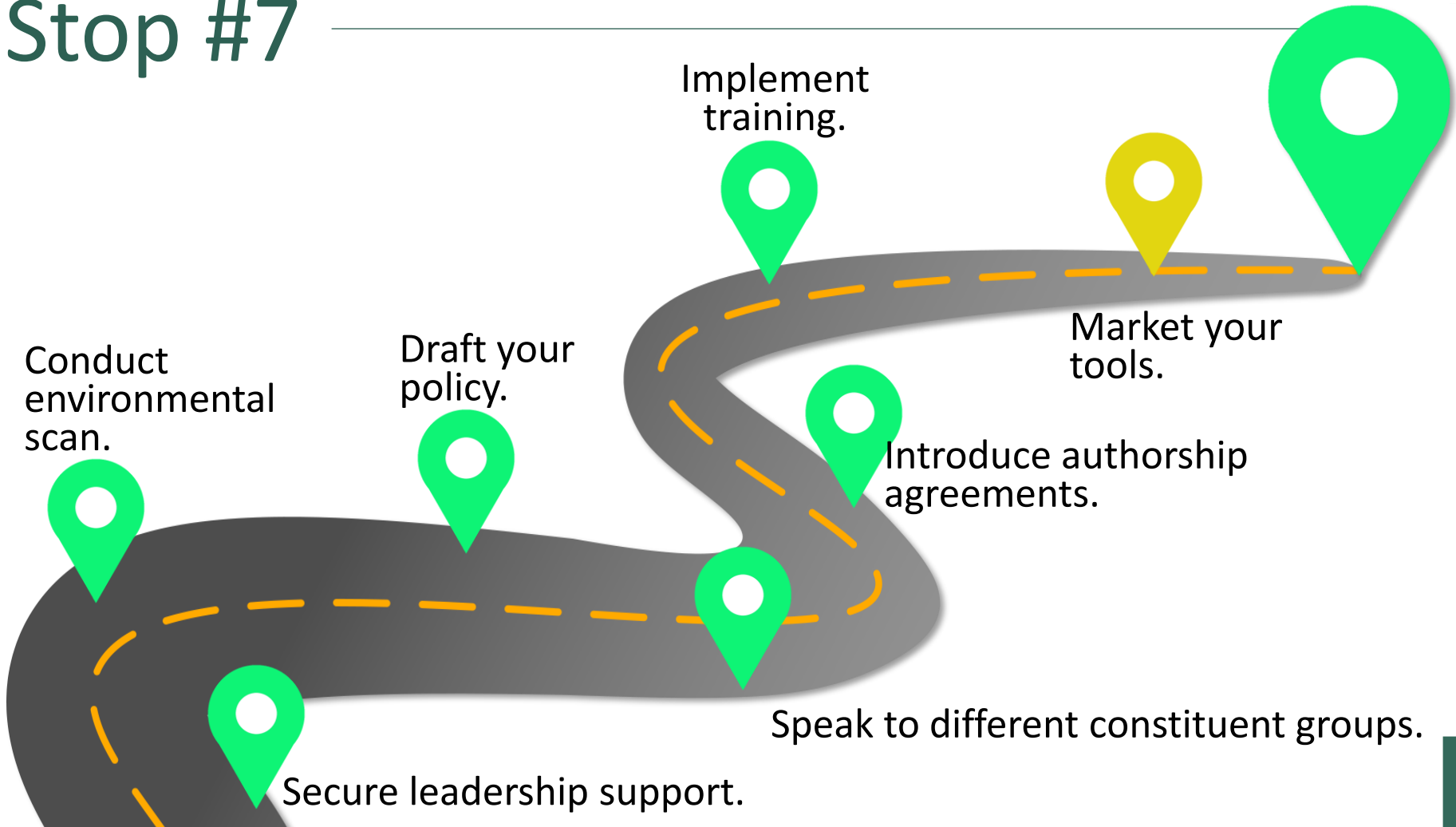
Concluding thoughts / Final Q&A

our "Top-down" journey:

- Secured leadership support
- Developed our policy
- Developed our authorship agreement
- Created training courses

Dissemination & sustainability:

- Will you encourage the use of authorship agreements? Will you design your own or use an existing one?
- Other long-term plans?
- How will your champions help you?

Use authorship agreements on their own (without a policy) for a more "bottom-up"/ less formal approach!

Our fantastic partner:
the Graduate School...
who will yours be?

Your complete roadmap

Conduct environmental scan.

Draft your policy.

Implement training.

Market your tools.

Introduce authorship agreements.

Speak to different constituent groups.

Secure leadership support.

You have arrived!

Thank you!

Additional presentations:
Monday, June 3, 2024: 12:00pm-1:30pm
PP-056: Shedding light on a "hidden curriculum": Designing engaging online content for graduate students

Tuesday, June 4, 2024: 10:30am-12pm——MC3.3 Hall
OP18.4: Intervention to support healthy authorship practices in research

References.

1. Wellcome Trust Report. (2020). What researchers think about the culture they work in. (Figure 15, page 33). https://wellcome.ac.uk/reports/what-researchers-think-about-research-culture.
2. Ni, C., Smith, E., Yuan, H., Lariviere, V., and Sugimoto, C. R. (2021). The gendered nature of authorship. *Sci. Adv. 7*, eabe4639.
3. Nylenna, M., Fagerbakk, F., & Kierulf, P. (2014). Authorship: attitudes and practice among Norwegian researchers. *BMC Medical Ethics, 15(*53). https://doi.org/10.1186/1472-6939-15-53
4. 4. Yukawa, Y., Kitanaka, C., and Yokoyama, M. (2014). Authorship practices in multi-authored papers in the natural sciences at Japanese universities. *International Journal of Japanese Sociology, 23*. doi: 10.1111/ijjs.12016

Additional Slides

Authorship disputes will occur.

Publishers push disputes back to institutions, but institutions are typically unprepared to mediate.

Dispute Panel