

## **Guidance: Authorship Dispute Resolution**

This guidance is pursuant to the University's Authorship and Publication Policy. This document provides some general principles that all authors should find helpful, regardless of profession. The scope of this document is to assist in resolving authorship disputes, for example disagreements related to contributions for authorship, author inclusion/exclusion, and order of authors.

### **Guidelines for preventing occurrences that may lead to authorship disputes:**

1. **Discuss Proactively and Be Consistent.** Discussions should begin early regarding authors and possible order of authors. The required criteria for attribution of authorship must be met. Authorship order should be consistent, within the research group and in the norms for the profession.
2. **Understand the Policy.** Authors should be made aware of the University's Authorship and Publication Policy, as well as journal specific guidelines and policies.
3. **Communication.** The initial planning process for the research project should include agreement (consider written agreement) regarding criteria for authorship. As work advances, authorship may need to be reexamined.

### **Resolving Disputes:**

Parties involved in authorship disputes should make all efforts to resolve the dispute in a fair, consistent, clearly communicated manner. Typically, the first attempt to resolve disputes should be discussed within the research group. If there is no resolution, seek advice or mediation from the division/department chair and/or Dean. If the dispute cannot be resolved, individual(s) should consult with the Provost and Executive Vice President for Academic Affairs or the Vice President for Research and Economic Development whom will have final authority to resolve the dispute. As long as the dispute does not constitute a violation of policy, discussions should try and be resolved at the department level.

The resolution of the dispute should be based on evidence of author contribution. Thus, in resolving an authorship dispute, parties shall consider the following:

- Reference University's Authorship and Publication Policy and any written agreements made within the research group on authorship and responsibilities.
- Copies of any documentation to demonstrate how the author(s) may have made a significant intellectual contribution to the research output.
- A list of all those considered to be valid authors, and why.

- A list of those considered to have contributed to the paper, as well as those who should be acknowledged (without being an author), and why.
- A record of authorship dispute discussions and any agreement reached should be made and kept by the researchers involved in the dispute.
- If there is a change in authorship after resolution of the dispute this change should be agreed upon by all authors and recorded. This record shall be kept by the corresponding author.

Authorship disputes should be resolved within twenty working days from initiation of dispute resolution. If resolution cannot be made by direct dialogue or resolution has taken longer than twenty working days, the dispute should be referred in writing to the Provost and Executive Vice President for Academic Affairs or Vice President for Research and Economic Development.

If there are any changes in authorship after resolution of the dispute, the changes should be reviewed and agreed upon by all authors. This record should be maintained by the corresponding author.