



# **Authorship Guidelines for CAES Faculty Collaborating with Students**

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**College of Agriculture and Environmental Sciences**



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# Authorship Guidelines for CAES Faculty Collaborating with Students

**P**ublications and presentations of scholarly work are the primary means for disseminating information and advancing research. Authorship provides recognition among peers and establishes intellectual and professional credibility. Because publications, presentations, and grant proposals are often the primary determinant of academic advancement, the issue of authorship in collaborative scholarship is of great concern.

Authorship and other publication credits reflect actual scientific or professional contributions, regardless of an individual's profession, job or institutional status. Although junior researchers, including graduate and undergraduate students, are frequently valued members of multi-disciplinary research teams, often they are not in a position to advocate for the recognition of their scholarly contributions to work conducted with and/or supervised by more senior level researchers, academicians or scholars. The most serious outcome of this treatment is that they carry out the work, but do not always receive credit and/or recognition for their efforts in the form of authorship.

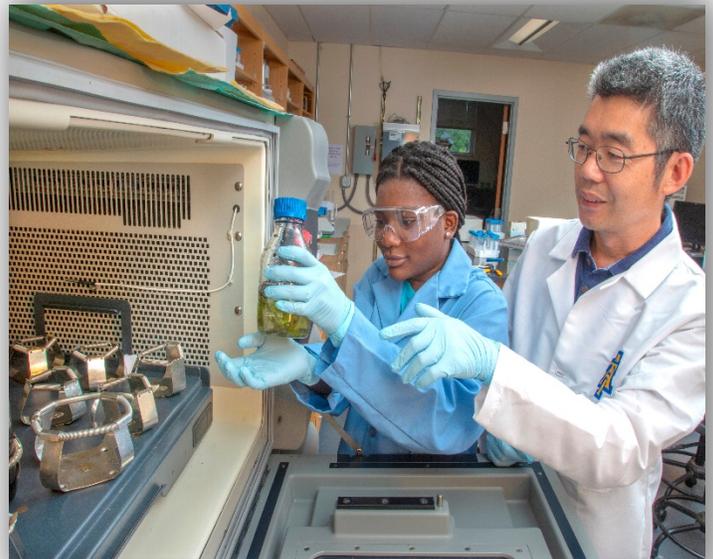
## **Purpose of Guidelines**

These guidelines will help those who contribute to the development of a scholarly presentation (e.g., manuscript, conference presentation, grant proposal) be aware of what constitutes the responsibilities of being an author, and the criteria for receiving credit for authorship. The primary purpose of these guidelines is to encourage open discussion and proper crediting of authorship based on substantive contributions to a paper, presentation or other product submitted for review by other professionals, peers or funders.

## **Guiding Principles:**

### *1. Data Ownership*

Data collected as part of research supported by North Carolina A&T State University (N.C. A&T) belongs to the University. Data used by students conducting funded research or otherwise employed by N.C. A&T belong to the University. The University grants faculty and students use privileges to publish and present the data. Copyrighting a publication, such as a thesis or journal article, does not supersede the University's ownership of data or its right to grant use to faculty (or students) for the data (Steneck, 2007).



## 2. *Intellectual Property and Copyright Protection*

Intellectual property is work or a product created, made or originated by a faculty member, research associate, staff member or student. For information about the protection of intellectual property, including copyright or patents, refer to N.C. A&T's Intellectual Property Policy, which is consistent with the Patent and Copyright Policies of The University of North Carolina Board of Governors [UNC Policy 500.2]

<http://www.northcarolina.edu/apps/policy/index.php?pg=vs&id=2790&added=1>

## 3. *Institutional Affiliation*

Typically, any public notice or publication of work performed under the auspices of N.C. A&T (e.g., A&T funded research occurring on or off campus, work performed by an N.C. A&T employee or student) is expected to identify the University. For example, any research initiated at or conducted at N.C. A&T

should credit N.C. A&T as the sponsoring or initiating institution. One potential exception to this expectation is when a student or employee leaves the University prior to submission of the work for publication/dissemination. The student (or former employee) has the option to identify his or her affiliation with another institution or entity as his or her institutional address. In such cases N.C. A&T can ask the student and the publication to credit the University as the originating address of the work. Whenever possible, prior to the student leaving the University, the supervising faculty and student should come to an agreement about institutional affiliation for purposes of publication.

## 4. *Option to Allow Faculty Development of Incomplete Student-Faculty Work for Professional Dissemination*

If a student leaves N.C. A&T without an agreement in place with his or her advisor about the professional dissemination of the work and, if after 12 months from the date of separation from the University, the student has not communicated to his or her advisor of an intent to publish the work, the advisor can assume the student has declined to exercise his or her rights to primary authorship and can proceed with publication of work jointly conducted with or supervised by the advisor. Determination of this action must be documented and filed in the departmental office of the student, advisor or designated co-author (if other than the advisor).



## **General Principles of Authorship on Scholarly Work**

- (1) Authorship assigns responsibility and accountability for the content of scholarly work and intellectual products such as training manuals, laboratory procedures and commissioned reports.
- (2) A person should have responsibility and credit, including authorship credit, only for work he or she actually performed or to which he or she substantively contributed.
- (3) Authorship represents credit for the contribution of one's intellectual work.
- (4) Authors bear the responsibility that the information and data included are reported truthfully and completely. Plagiarism, fabrication and falsification are unacceptable practices and journals, funding agencies and N.C. A&T's Division of Research have software that can check for plagiarism.
- (5) Junior researchers and students meeting the criteria for authorship must be included as authors.

## **Activities that Merit Authorship**

Authorship credit should be based on substantial contributions in one or more of the following areas:

- (1) Conceptualization and design of the project or study;
- (2) Acquisition of data;
- (3) Data analysis;
- (4) Interpretation of data;
- (5) Preparing a written draft of the project;
- (6) Making contributions or making critical revisions adding or clarifying important intellectual content;
- (7) Revising and preparing the draft (developing the final version) for submission. Authorship credit might also be appropriate for making contributions to a paper, presentation or grant proposal after it has been finalized and formally reviewed (and returned for revision or rejection) in the form making critical revisions adding or clarifying important intellectual content and revising and preparing a resubmitted product for re-review. An author should be able to identify,



articulate and defend his or her contribution to the scholarly work. He or she should know and be able to explain how his or her contribution relates to the paper, presentation or proposal.

### **Activities that Do NOT Merit Authorship**

- (1) Activities not related to the specific research effort, such as the administrative acquisition of funding, the provision of technical support services and/or materials, data or laboratory procedures management, or the general supervision of a research group.
- (2) Participating solely in an advisory role without making substantive contributions to the research or to the write-up of that work.
- (3) Contributions to a paper, presentation or proposal after the development, write-up, and submission for publication or conference acceptance of the final work, unless such contributions are deemed critical for achieving publication/acceptance of that work (e.g., the contributor conducted substantive analyses, provided a reconceptualization of the work, or participated in major revisions of the previously submitted work).



### **Responsibilities of Authorship**

One or more authors assume (based on agreement to do so) responsibility for coordinating the completion and submission of the work, for assuring adherence to the rules of submission, and for coordinating responses to inquiries or possible changes.

- (1) The first or primary author should carefully review the policies and procedures of the publication/conference/application prior to submission in order to adhere to all applicable requirements.
- (2) One author (primary/senior/submitting/responsible) should assure the following:
  - a) All identified authors meet criteria for authorship;

- b) Each author has the opportunity to review the entire product prior to the date of submission;
- c) Each author has consented to authorship prior to the submission of the product.

### **Determination of Authorship**

- (1) Authorship should be discussed early in the development of the study/project work and reviewed periodically for changes in participation and contributions of parties to the product.
- (2) Students should be considered as the principal author on any multiple-author article that is substantially based on the student's dissertation or thesis – ***except in instances where the student voluntarily agrees not to be first author.*** Any professional dissemination of work completed by a student should merit either authorship or other acknowledgement.
- (3) The order of authorship may not necessarily indicate the magnitude of the contributions of the individual authors. Authors should adhere to the norm of their discipline and the publisher's guidelines. The following are suggestions for determining order:
  - a) The person who has made the major contribution to the product and/or taken the lead in writing should be first author;
  - b) Authors who have made major contributions to analysis, interpretation or writing may be listed immediately following the first author;
  - c) The person who has general responsibility for the project is frequently listed last;
  - d) Individuals who fulfill the criteria for authorship may be listed in alphabetical order.

It is not appropriate to remove or deny authorship to a student or other contributor who carries out a substantial amount of the project's data collection, data analysis and/or drafting of the work the final product is based on. Even if the contributor leaves A&T employment or enrollment before making substantial contributions to a first draft, such a contributor can still be considered for authorship based on his or her contribution to data collection and analysis (*see also Institutional Affiliation, above*). In particular, the senior/primary submitting author may NOT remove a contributor from authorship based on a disagreement with the views or conclusions that are different from his or her own.

## Bibliography

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## Points and Method of Assignment of Authorship for Activities Associated with Research Manuscript/Poster

The following form may be useful in helping to determine authorship. To be used effectively, the instrument should be completed collaboratively in a discussion that includes all of the contributors. Please note that scores are estimates and negotiable as the project progresses, some of the items may not be appropriate for studies analyzing existing data and authorship and cut-off scores may have to be adjusted. Please also note that these scores should be used as guidelines and that the final order of authors might not reflect the rank of the contributor's scores.

Activity Category	5 points x nos. Contributors	Contributor's Score*				
		(Assign 5 points for distribution for each contributor being considered for authorship. Example: If there are three potential authors — use 15 points for each				
	Total Points	List each contributor's initials at the top of the column				
		aa	bb	cc		
<b>Example: Literature search</b>	<b>15</b>	<b>8</b>	<b>5</b>	<b>2</b>		
Conceptualizing and refining research ideas						
Literature search						
Creating research design						
Instrument/methodology selection						
Instrument construction/questionnaire design; methodology development						
Selection of statistical tests/analyses						
Performing statistical analyses and computations						
Collection and preparation of data (gathering, scoring/coding, entering)						
Interpretation of statistical analyses						
Drafting manuscripts/presentations						
First draft						
Second draft						
Redraft of a page (on later drafts)						
Editing manuscripts						
<b>Total Score</b>						

\*Point assignment is to be based on consideration of the substantive amount of contribution time and intellectual input to each category towards the completion of the final product. Fifty points are needed to warrant authorship.

This table is based on information described in the following article: Winston, Jr., R. B. (1985). A suggested procedure for determining order of authorship in research publications. *Journal of Counseling and Development*, 63, 515-518.  
A base of 5 points per contributor. For 3 authors this means 15 (5 points per author) multiplied by the 14 categories represents a total of 210 points that can be earned. With 3 contributors equal contribution would be 70 points each. The 5 points x number of contributors provides an approach that sets parameters for maximum point assignment and provides a basis by which all contributors could earn authorship credit.



## Student Authorship Agreement

### STATEMENT OF UNDERSTANDING OF AUTHORSHIP BETWEEN SUPERVISING CAES FACULTY AND STUDENTS

The following is a brief set of guidelines to help faculty and students working on a project under the supervision of said faculty member determine and receive appropriate authorship credit for the development of a scholarly presentation (e.g., manuscript, conference presentation, poster presentation). Below is a brief summary of the generally recognized criteria for receiving credit for authorship.

#### **Activities that Merit Authorship**

Authorship credit should be based on *substantial* intellectual contributions in one or more of the following areas:

1. Conceptualization and design of the project or study;
2. Collection of data;
3. Data analysis;
4. Interpretation of data;
5. Preparing a written draft of the project;
6. Making contributions or making critical revisions that add or clarify important intellectual content;
7. Revising and preparing the draft and developing the final version for submission.

#### **Determination of Authorship**

1. Authorship should be discussed early in the project development process and reviewed periodically if changes in participation and contributions of parties to the product change.
2. Students should be considered as the principal (first) author on any multiple-authored manuscript or presentation that is substantially based on their dissertation, thesis or other supervised research and they participate substantially in the manuscript submission process – *except in instances where the student voluntarily agrees to not be first author and/or is not interested in authorship.*

#### **Dissemination of Scholarly/Scientific Work**

Students have a responsibility to participate in the dissemination of professional/scientific work in which they collaborate or are supervised by one or more faculty members. This responsibility includes reaching agreement on authorship and allowing other collaborators to present information on the collaborative work if the student is unable or does not wish to participate in the dissemination within 12 months (or other agreed upon period of time) of completion of the project.

Additional information about authorship determination and responsibility of professional/ scientific authors can be found on the CAES web-site:

<http://www.ncat.edu/caes/agresearch/documents/index.html>

Please indicate by your signature below that you understand what activities are generally recognized as credit for scientific/professional authorship on a manuscript or presentations (oral or poster). Your signature also indicates that you agree to collaborate as an author on presentations of your scholarly/scientific work that you and your supervising faculty agree to submit for acceptance by a publisher (e.g., journal, book, electronic media) or conference review panel.

I, \_\_\_\_\_ (student's name), understand the requirements that I need to meet to receive professional recognition (authorship) for my contributions to a paper, conference presentation or conference poster that I collaborate on with my faculty advisor.

Student's signature \_\_\_\_\_ Date: \_\_\_\_\_

Supervising faculty member \_\_\_\_\_ Date: \_\_\_\_\_

*{Signature signifies that you have reviewed this statement with the student and answered questions to clarify their role and responsibilities in this process.}*

**SPECIAL NOTES** (Record specific notes below, e.g., student decision not to be primary author, decision about order of authors)

**NOTE:** A copy of this agreement and subsequent revisions are to be placed in the advisor's and student's departmental files.