

1 **PROCEDURE NAME (R*)**

2 Resolution of Authorship and Publication Disputes in Research and Creative Activity

3
4 **PROCEDURE NUMBER (O*)**

5 TBD

6
7 **INITIAL ADOPTION AND EFFECTIVE DATE (R*)**

8 TBD

9
10 **PROCEDURE APPLICABILITY (R*)**

11 This procedure applies to faculty, students, other trainees, staff, employees, visiting
12 scholars, key personnel, project team members, and all other members of UofL's
13 research community, as well as an individual who is responsible for the design,
14 proposal, conduct, and/or reporting of research, irrespective of discipline,
15 regardless of pay or leave status (collectively "Researcher(s)"). This procedure
16 applies to UofL research and related activities, regardless of funding source.

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18 **REASON FOR PROCEDURE (O*)**

19 Standards for Authorship and Publication of Research and Unacceptable Authorship
20 Practices are governed by the University's Responsible Conduct of Research Policy
21 (RES-5.01)

22 In cases of authorship disputes related to composition and/or order of authors, in
23 which only University of Louisville ("University") authors are part of the dispute, the
24 Executive Vice President for Research and Innovation (EVPRI) encourages parties to
25 engage in direct dialogue to resolve matters. In instances where an agreement was
26 not reached or has not been honored, additional steps may be warranted to resolve
27 the dispute. All processes related to this administrative procedure should be
28 handled fairly and expeditiously.

29 **PROCEDURE STATEMENT (R*)**

30 **Resolution of Authorship Disputes**

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32 **Direct Communication** (Preferred Process). This involves the parties to the
33 dispute discussing their perspectives and working to reach an agreeable resolution.
34 Once consensus has been reached, it should be formally documented, signed, and
35 dated by all parties involved and copies of the signed agreement should be
36 distributed to the parties. In cases where the parties span more than one

37 department/unit, copies should also be sent to the cognizant department
38 heads/directors/VPs/Deans.

39

40 **Mediation.** Parties to a conflict may choose to work with the Office of Research
41 Integrity to participate in a confidential mediation process to assist in finding a
42 resolution to authorship disputes. The Office of Research Integrity does not
43 advocate for any particular outcome and remains a neutral third party assisting
44 with the exploration of perspectives, rationales, and options. The parties
45 themselves decide on the terms of any agreement.

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47 **Peer Panel.** Parties to an authorship dispute can agree to present their
48 perspectives to a panel of three University Researchers with expertise in the
49 respective discipline, no conflict of interest, and, when possible, no affiliation with
50 the department(s) of the involved parties. By entering the voluntary Peer Panel
51 process, the parties involved will agree in writing to accept and abide by the
52 decision of the panel. The parties will further agree that in abiding by the decision,
53 they will not file a dispute at the level of the journal's editors or other public forum.
54 Further description of this proposed process can be found below.

55

56 **Appointment of Panel:** One or more disputants will notify the Director,
57 Office of Research Integrity of the authorship dispute. The Director will
58 propose a panel of three (3) Researchers with sufficient expertise in the
59 relevant discipline and no conflict of interest with any of the disputants.
60 Whenever possible, the proposed panelists will have no affiliation with the
61 department(s) involved. The Director may consult with additional University
62 officials when proposing panel members. Each disputant will have the
63 opportunity to review the list to confirm their acceptance of the panel
64 members, or to challenge proposed panelists based upon perceived conflict
65 of interest. The Director will make the final determination on panel
66 composition.

67

68 **Presentation to the Panel:** The Panel decision is limited in scope to the
69 composition and order of authors. No other authorship matters will be
70 considered by the Panel, unless otherwise requested by the Executive Vice
71 President for Research and Innovation. The panelists will select one person to
72 serve as the Panel Facilitator. The Panel Facilitator will convene the Panel to
73 allow the disputants to share information regarding the dispute. The panel
74 will meet with each disputant separately and, at the discretion of the panel,
75 will interview other parties relevant to resolving the authorship dispute.
76 Disputants will submit the manuscript and may provide other relevant
77 materials regarding the authorship dispute to the panelists in advance.
78 Panelists will review the materials at their discretion. The Panel may contact
79 disputants to gather additional information, if necessary.

80
81 **Decision of the Panel:** Panelists will agree not to disclose the deliberations
82 of the panel or how any of the panelists voted on the matter, except as
83 required by law. Following deliberations, the Panel will take a vote to reach a
84 final, binding decision and prepare a written report detailing the decision and
85 rationale. If the vote is not unanimous, the report will reflect both sides, but
86 the majority vote will be decisive. The Panel Facilitator will inform the
87 Director, Office of Research Integrity, of its decision and provide the written
88 report. The Director will subsequently provide the disputants with the final
89 report. The Director, Office of Research Integrity, will also inform all other
90 authors of the paper regarding the binding decision and rationale.

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92 **Binding EVPRI Decision.** If the parties do not resolve the dispute through direct
93 communication or mediation, and choose not to work with a Peer Panel, then the
94 EVPRI will render a binding decision, and may consult with expert(s) prior to
95 making the decision. If the manuscript is already submitted for publication, the
96 EVPRI will notify the journal that the University has approved the publication of the
97 manuscript using the approved authorship composition and order. If the
98 manuscript in question is already published, the EVPRI will notify the journal to
99 communicate recommendations for modifications to author composition or order.

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101 **Correction or Retraction of Publication**

102 In instances where the Conflict Review Board, Institutional Animal Care and Use
103 Committee, Institutional Biosafety Committee, or Institutional Review Board has
104 made a finding of non-compliance and determined that the data upon which a
105 publication is based was not collected with proper University or regulatory approval,
106 the manuscript in question will be subject to correction or retraction (as determined
107 by the governing journal). The Office of Research Integrity will coordinate with the
108 corresponding author of the publication to ensure any required corrective action is
109 addressed.

110 **RELATED INFORMATION (O*)**

111 [NIH NOT-OD-18-011](#)

112 [Authorship and Publication Resources](#)

113 Scholars should review the reputation of the journals/publishers to which they
114 submit and are encouraged to avoid publishing in predatory journals¹. These

¹ Please refer to <https://scientific-publishing.webshop.elsevier.com/research-process/what-predatory-journal-checklist/> for information on predatory journals.

115 journals employ unethical business practices including plagiarism and publication of
116 fabricated results.

117

118 **RESPONSIBLE AUTHORITY (R*)**

119 Executive Vice President for Research and Innovation

120

121 **RESPONSIBLE UNIVERSITY DEPARTMENT/DIVISION (R*)**

122 Office of Research Integrity

123 300 E Market, Suite 300, Louisville, KY 40292

124 Phone: 1-502-852-2454

125 Email: ori@louisville.edu

126

127 **HISTORY (R*)**

128 Revision Date(s): TBD

129 Reviewed Date(s): TBD

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131 The University Policy and Procedure Library is updated regularly. In order to
132 ensure a printed copy of this document is current, please access it online at
133 <http://louisville.edu/policies>

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135 **R* = Required O* = Optional**