

University Health Network Policy & Procedure Manual

Research: Academic Authorship & Public Access of Publications

Policy

Academic authorship at University Health Network (UHN) is consistent with the:

- Tri-Agency Framework: Responsible Conduct of Research
- Faculty of Medicine, The University of Toronto Principles and Responsibilities Regarding Conduct of Research
- International Committee of Medical Journal Editors: Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals

Authorship

UHN authors are responsible for ensuring that authorship of published work includes all those, and only those, who have made a substantial contribution and who accept responsibility for the content of the publication.

Note: The substantial contribution may be conceptual or material.

Authorship credit should reflect the individual's contribution to the study. When multiple authors are listed, the co-authors will jointly decide the order of authorship.

Any authorship issue that is not resolved to the satisfaction of all parties will be submitted to the Research Institute (RI) director, department/division head, or equivalent for a final decision. The unsatisfied party will direct a written request to the RI director, department/division head, or equivalent, detailing the particulars of the issue to be resolved in sufficient detail for a decision to be rendered.

As per the International Committee of Medical Journal Editors (ICMJE) guidelines, an author must:

- make substantial contributions to the conception or design, or acquisition, analysis, or interpretation of data, **and**
- participate in drafting the document or revising it critically for important intellectual content, **and**
- provide final approval of the version to be published, **and**

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Policy Number	40.60.001	Original Date	05/04
Section	Intellectual Property & Authorship	Revision Dates	02/11; 12/17; 12/20
Issued By	Research Quality Integration	Review Dates	
Approved By	Executive Vice-president, Science & Research; Executive Vice-president, Education & Chief Medical Officer	Page	1 of 5

- agree to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

Note: The author submitting the work for publication is responsible for obtaining approval from co-authors.

An author should be able to identify which co-authors are responsible for specific parts of the work. In addition, authors should have confidence in the integrity of the contributions of their co-authors.

Note: Acquisition of funding, the collection of data, or general supervision of the research, without meeting the other criteria, does not justify authorship.

Acknowledgement

UHN authors are responsible for ensuring acknowledgement of all those, and only those, who have contributed to the academic work, including funders and sponsors.

Contributors must provide written permission to be acknowledged in the publication.

Acknowledging Funding Sources

UHN authors are responsible for ensuring acknowledgement of their funding sources in their publications. Authors should refer to the funding guidelines, award, and/or agreement for specific details on how to appropriately acknowledge relevant funding.

Generally, authors must acknowledge any sources of funding that supported the published work.

Author Affiliations

Authors are responsible for accurately listing all institutional affiliations on their publications.

In cases where an author is affiliated with more than one institution, the institution where **most of their own** academic work is performed should be listed as the primary affiliation. Therefore, authors whose work is conducted primarily at a UHN site (e.g. a lab or clinic located at UHN) should identify UHN as their primary institution when publishing work done at that site.

For guidance on how affiliations should be listed for each UHN Research Institute, refer to [UHN Author Affiliations Guidance](#).

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Public Access of Publications

As a publicly funded institution, UHN has an interest in ensuring that research publications and data arising from research conducted at UHN is made freely available to the widest possible audience. [Public access](#) of publications enables others to build on the findings made at UHN and enhances the impact that this knowledge.

While all UHN authors are encouraged to make their publications publicly available within 12 months of the date of publication, at a minimum, authors at UHN are responsible for ensuring their publications follow the public-access requirements of any funding sources that supported the published work.

All research funded by the Tri-Agency (CIHR, NSERC, SSHRC) must adhere to the public access requirements of the [Tri-Agency Open Access Policy on Publications](#), which requires that researchers ensure that any peer-reviewed journal publications arising from Agency-supported research are freely accessible within 12 months of publication. This can be accomplished through one of two non-mutually-exclusive ways:

- Deposit the final, peer-reviewed manuscript into an institutional or disciplinary repository that will make the manuscript freely available with 12 months of publication. It is the responsibility of the author to submit the manuscript to a journal that permits the author to retain copyright and/or allows the author to archive journal publications in accordance with this policy.
- Submit the manuscript to a journal that offers immediate open access or offers open access to the paper on its website within 12 months of publication.

Research funded by the US Public Health Service (PHS), including the National Institutes of Health (NIH), must comply with its public access and reporting requirements when publishing a manuscript. This includes:

- ensuring the publication agreement allows the final, peer-reviewed manuscript to be submitted to PubMed Central (PMC) and made publicly available no later than 12 months after the official date of publication;
- posting the manuscript to PMC and tracking it in MyNCBI (National Center for Biotechnology Information) once it is accepted for publication; **and**
- including the PMC Identifier of relevant publications in reporting back to the PHS funder.

For research funded by the PHS, investigators must submit an electronic version of the final, peer-reviewed manuscript(s) to the National Library of Medicine's PMC upon acceptance for publication. Investigators must ensure that the manuscript is publicly available within 12 months of publication.

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Responsibilities

Academic Author

- Jointly decide authorship and authorship order, in keeping with authorship and acknowledgement eligibility requirements.
- Submit any unresolved authorship disputes to the RI director, department/division head or equivalent for a final decision.
- Properly acknowledge sources of funding, list institutional affiliations, and comply with public access requirements

Research Institute Directors, Department/Division Head or Equivalent

- Receive and review authorship disputes, and adjudicate resolution in keeping with authorship and acknowledgement eligibility criteria.

Definitions

Public access: Free availability of scholarly research outputs on the public internet.

References

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4. National Institutes of Health (2016). *NIH Public Access Policy Details*. <https://publicaccess.nih.gov/policy.htm>
5. National Institutes of Health (2014). *Public Access Policy: When and How to Comply*. <https://publicaccess.nih.gov/>
6. Panel on Responsible Conduct of Research. (2016). *Tri-agency Framework: Responsible Conduct of Research*. <http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/>

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http://documents.uhn.ca/sites/uhn/Policies/Research_Manual/Professional_Practice/40.90.001.pdf

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