

Recommended guidelines for crediting academic publications to institutions

Recommended by the Norwegian Association of Higher Education Institutions on 29 April 2011, the Association of Norwegian Research Institutes on 9 June 2011 and the National Cooperative Council for Medical and Professional Health Research on 4 May 2011.

In accordance with the guidelines for universities, university colleges, research institutes and hospital trusts issued by the Ministry of Education and Research, the Research Council of Norway and the Ministry of Health and Care Services respectively, publication points in all three sectors will be apportioned among the institutions if the author addresses refer to more than one institution. The institutional affiliation(s) reported must appear in the publication itself.

A minimum requirement for participation on the part of the institution forms the basis for the main rule on crediting institutions in academic publications. Nevertheless, it is important that the following guidelines are put into practice in a highly flexible and liberal manner, and that the main purpose is to promote interaction and cooperation between the various institutions. Requirements for co-authorship must be satisfied in accordance with the Vancouver Rules.

Main rule

The main rule for crediting institutions in an academic publication includes the following:

- 1. The address of the institution must be given in a publication if it has made an essential and substantial contribution to, or provided a basis for an author's contribution to, the published work.**
- 2. The same author must also state the addresses of other institutions if these also satisfy in each individual case the requirement stated in point 1.**
- 3. An employment relationship or supervisory responsibility can also be deemed to provide a basis for crediting an institution, *if the requirement in point 1 is fulfilled.***

Point 3 can be understood as a clarification of the minimum requirement in point 1 and of the regulations set forth by the authorities. Employment or supervisory responsibility is not in itself a necessary or sufficient condition for crediting publications to institutions even though this will be most usual. Authors who have a number of employment relationships in research environments with integrated research activities (where the individual employers take part in joint research activities) must credit the individual institutions.

Clarification of the main rule for authors undergoing education (students, PhD candidates, post-doctoral research fellows)

Crediting degree-conferring institutions

Doctoral candidates who are employed at the institution which has admitted them to the PhD programme shall credit academic publications resulting from research work in the programme

in its entirety to the degree-conferring institution if no other institution has made a substantial contribution in the form of supervision, funding, equipment, working environment, or in any other manner. In such cases the author must state his/her affiliation to both institutions in the publication.

The institution conferring the doctoral degree has the general academic responsibility for PhD candidates who are employed at another institution in that the (principal) supervisor will normally monitor the student's research work up to publication. In such cases the author must report the affiliation to both institutions in the publication. The degree-conferring institution is given as the author address in a publication in addition to the employer when a degree-conferring institution has made a substantial contribution in the form of supervision, funding, equipment, working environment, or in any other manner. The active execution of the supervisory responsibility vis-à-vis the publication in question is a sufficient contribution. If the contribution is in the form of supervision, less is required than when the supervisor him/herself is to be designated as a co-author of the work in question.

Crediting non degree-conferring institutions

The main rule is that the author states the address of the employer if the work has been conducted as part of the employment relationship. Those with several employment relationships use the employer(s) address(es) if the work was carried out as part of the employment relationship. This requirement is deemed to be satisfied if the author has several employment relationships in research environments with integrated research activity (where the individual employer has joint research activities). The same author must also state the addresses of other institutions if these have made an essential and substantial contribution to or provided a basis for an author's participation in the published work in each individual case. A substantial contribution means academic supervision in the actual research work, funding of the research, provision of premises in which the research has been conducted and use of equipment and other infrastructure necessary for research work.

Other conditions

Institutions must acknowledge that conditions that neither researchers nor the institutions can control may result in a lack of full compliance with the main rule when researchers submit their work for publication. For example, the guidelines of some publication channels or agreements in some cooperative projects may restrict how many addresses the individual author is permitted to report in publications. This also applies when international research cooperation incorporates written agreements on how authors and institutions shall be credited and designated (sometimes using a group acronym). This may occur when a very large number of researchers and institutions participate in a relatively permanently organised collaboration in which written agreements may entail that only the institutions that are participating on a formal basis can be credited.

If uncertainty arises about how institutions are to be credited in connection with doctoral work or other education, this should be clarified in the supervision contract if possible.

Supplementary provisions

Institutions can draw up more detailed rules but these must be designed to avoid conflict with the rules of other organisations designed on the same principles.

Reference to other literature

For a more detailed description of the general guidelines for crediting publication points in the three sectors, see:

1. The reporting requirements of the Ministry of Education and Research, which can be accessed at the Norwegian Social Science Data Services (NSD): <http://dbh.nsd.uib.no/dbhvev/dokumentasjon/vitpub/>
2. "Retningslinjer for rapportering av doktorgrader og vitenskapelige artikler" (Guidelines for the reporting of doctoral degrees and scientific articles), which can be accessed on the website of the Ministry of Health and Care Services: "Nasjonalt system for måling av forskningsaktivitet" (National system for measuring research activity): <http://www.regjeringen.no/nb/dep/hod/tema/sykehus/nasjonalt-system-for-maling-av-forskning.html><http://>
3. <http://www.nifu.no>
4. Vancouver Rules: http://www.icmje.org/ethical_1author.html

Examples of crediting institutions in academic publications

The first example is related to additional positions, and the remainders are linked to PhD programmes where the PhD candidate is not employed at the degree-conferring institution. In most cases PhD candidates who are employed at another institution will give both their own employer and the degree-conferring institution as the author address. The examples below discuss possible exceptions from this rule.

Additional posts

A researcher has his/her main employment at institution X and an additional post at institution Y. Normally the researcher will credit both X and Y for work carried out in the additional post while only X is credited for work done in the main post. This is applicable regardless of whether X and Y are universities, university colleges or research institutes.

PhD cooperation between a degree-conferring institution and a university college

- 1) The principal academic supervisor is employed at a university college. The co-supervisor is employed at a degree-conferring institution. The research fellow is paid and administered by the university college, and carries out the entire project at the university college. The doctoral candidate credits the university college in publications. In addition, the degree-conferring institution is credited if the co-supervisor has contributed substantially to the article in question through his/her supervision.
- 2) The principal academic supervisor is employed at a university college. The co-supervisor is employed at a hospital trust and has a teaching post at the degree-conferring institution. The PhD candidate is paid and administered by the university college and carries out parts of the project at the hospital trust. The doctoral candidate credits the university college and the hospital trust in publications. In addition, the

degree-conferring institution is credited if the co-supervisor has contributed substantially to the article in question through his/her supervision, and if this has taken place as part of his/her teaching post at the degree-conferring institution.

It is not relevant to the decision that the degree-conferring institution has a general responsibility for the doctoral candidate's academic development, has approved the project and provided guidance on admission, has responsibility for the course component and the evaluation of the doctoral candidate. This does not constitute an essential and substantial contribution to the published work.

PhD cooperation between a degree-conferring institution and a research institute

A research institute announces a vacant post and appoints a PhD candidate in a subject area in which the institute has cutting-edge knowledge. The candidate contacts the degree-conferring institution and finds a (principal) academic supervisor with relevant expertise in the field. The supervisor reads the candidate's research proposal, comments on it and asks the candidate to present the proposal to the degree-conferring institution's research committee at institute level. The research committee reads and approves the proposal with a number of brief comments. The candidate is admitted to the PhD programme of the degree-conferring institution and contracts are drawn up between the doctoral candidate and the institution. The degree-conferring institution and the research institute also enter into a contract. The candidate must be allocated a workplace and co-supervisor at the research institute and the institute also covers operational costs. The candidate credits his own employer on publication. In addition, the degree-conferring institution is credited if the supervision has contributed substantially to the candidate's work. This can be in the form of detailed comments on admission or during the programme. The degree-conferring institution can also be credited if the opponents it has appointed for the public defence of the thesis have contributed substantially to the work in question or if the candidate takes active part in a research group at the degree-conferring institution, and has thereby acquired considerable relevant input for the article in question.

It is not relevant to the decision that the degree-conferring institution has a general responsibility for the candidate's academic development, has approved the project and supervisor on admission, is responsible for the course component, provides a scientific environment, evaluates the candidate and arranges the public defence. This is not considered to be an essential and substantial contribution to the published work.

PhD cooperation between degree-conferring institutions and hospital trusts

The project involves a laboratory (section A) and a clinic (section B) at a university hospital.

Both are combined university and hospital sections.

- The principal academic supervisor is professor I at a degree-conferring institution and has an additional post as a senior consultant in section A at the hospital.
- The research fellow is financed by research funding from, and is employed by, the regional health authority.

- A post-doctorate research fellow is financed by the university and also makes a substantial contribution to the research.
- The co-supervisor is professor II at the degree-conferring institution and a senior consultant in a leadership position in section B, and is responsible for the clinical part of the study (clinical data on patient material as well as collection of biological material).
- All diagnostic laboratory investigations, including X-ray examinations are conducted by the hospital.
- The hospital owns premises both in the laboratory section and in the clinical section, but the university has the right to make use of certain parts of the premises because funding is provided by the Ministry of Education and Research. The technical medical equipment used in laboratory research is partly financed by the degree-conferring institution and partly by the hospital. The same applies to funding.

This is a fairly representative description of the research situation in Norwegian hospitals. This can be simpler but normally the situation will be more complicated, i.e. an even greater number of departments and researchers are involved. Moreover, other universities and hospital trusts in Norway and in other countries are engaged in this kind of research. It is fairly obvious that it is impossible to calculate accurately how much the two parties (degree-conferring institution and hospital trust) have contributed to the final scientific study (scientific article and PhD degree). Therefore, the rules for apportioning publication points between universities and hospital trusts must be highly flexible.

There are a number of factors that indicate that the doctoral candidate should credit both the degree-conferring institution and the hospital trust. The research is conducted at a section or sections regarded as part of the degree-conferring institution, and the supervision is carried out by researchers in connection with their work relationship at this institution.