

<b>DEPARTMENT:</b> Clinical Operations Group	<b>POLICY DESCRIPTION:</b> Designation as Authors and Contributors in Scholarly Work
<b>PAGE:</b> 1 of 7	<b>REPLACES POLICY DATED:</b> 9/1/22
<b>EFFECTIVE DATE:</b> July 1, 2024	<b>REFERENCE NUMBER:</b> COG.PUB.001
<b>APPROVED BY:</b> Ethics and Compliance Policy Committee	

<p><b>SCOPE:</b> This policy applies to all Company-affiliated entities.</p>
<p><b>PURPOSE:</b> To provide consistent criteria for designation of “Author” and “Contributor” in the publication of scholarly work.</p>
<p><b>POLICY:</b></p> <p><b>Recognition as an Author</b></p> <p>A. HCA Healthcare adopts the International Committee of Medical Journal Editors (ICMJE) recommended criteria for Authorship in its Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals (December 2019). Specifically, to be listed as an Author in a publication, the individual must meet all four criteria below:</p> <ol style="list-style-type: none"> <li>1. Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work;</li> <li>2. Drafting the work or revising it critically for important intellectual content;</li> <li>3. Final approval of the version to be published; and</li> <li>4. Agreement 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.</li> </ol> <p>It is noted that while Generative Artificial Intelligence (Gen AI) assistive technologies may take on some traditional tasks of Authorship (such as providing substantial contributions to the design or drafting of the workproduct), prevailing legal and journal standards do not recognize non-humans as able to meet all criteria for Authorship. Therefore, such technologies and/or the company that provided them are not to be listed as Author(s) but may be required to be listed as Contributors in accordance with such criteria and/or external stakeholder requirements. In general, the use should be disclosed to the proposed publishers for their determination whether to disclose Gen AI as a Contributor based on their policies. Regardless of disclosure as a Contributor, Authors are reminded of their obligations when using Gen AI in scholarly work (See COG.PUB.003: Responsible Use of Generative Artificial Intelligence In Scholarly Work).</p> <p>B. All those designated as Authors should meet all four criteria for Authorship, and all who meet the four criteria should be identified as Authors.</p> <ol style="list-style-type: none"> <li>1. Those that meet the first criteria should have the option to undertake the efforts that lead to the latter three criteria. Specifically, the criteria are not to be used manipulatively as a means to attempt to disqualify colleagues who otherwise have a right to become an Author.</li> <li>2. It is not permissible to add arbitrary criteria that excludes those that deserve credit (e.g., “only physicians can be listed as Authors”). Any individual (scientific or non-scientific) that meets criteria for Authorship should be listed.</li> </ol>

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- C. Individuals engaging in the Scholarly Work have the collective responsibility to determine who among them meets the criteria for Authorship. If this changes over time (i.e., additions and/or deletions from the list of Authors), the Author(s) should document and archive the reasons for making the change.
- D. Those designated as Authors also have the collective responsibility to:
1. Know the contributions of the others listed Author(s), if any, and be able to attest that they met the criteria of Authorship;
  2. Determine who will serve as the Corresponding Author;
  3. Determine who will be listed as Contributors; and
  4. Determine the order of Authorship to be listed on the byline, knowing that flexibility is required to accommodate changes that may occur as the activity evolves and/or Publisher policies.
- E. The determination of Group Authorship does not alleviate the requirement that that the members listed under the Group Author name have individually met the criteria for Authorship.
- F. In the event there is a dispute in Authorship recognition that is not settled among those with the collective responsibility, the Institution(s) shall arbitrate the discussion until a resolution is made.
- Author(s) Role**
- A. Prior to drafting the Scholarly Work, an Author must:
1. Confirm they met the first criteria for Authorship; and
  2. Maintain flexibility to accommodate changes that may arise (e.g., an individual not initially designated as Author ends up making substantive contributions that earn Authorship in the paper, or an individual previously designated as Author fails to carry out the designated duties, making their contributions not sufficient enough to merit Authorship).
- B. Prior to submission to publish Scholarly Work, the Author(s):
1. Must reconfirm they met all four criteria for Authorship plus any additional requirements imposed by the Publisher; and
  2. Should document (and submit along with the publication) the formula used for determining the byline order listing to avoid misinterpretation and/or unintended consequences. [Note: there are varying methodologies used for the ordering of Authors in the byline (including but not limited to alphabetically, by seniority, by weighted scorecards of contributed activities, reserving the first and/or last listed position as meaning specific things, etc.). HCA Healthcare does not endorse any specific methodology however the Authors must be compliant with the Publisher’s requirements as it pertains to this issue.]; and

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3. Should take efforts to disambiguate their identity across publications through strategies such as consistent use of their name (e.g., using William Thomas Smith, Jr., instead of Tom Smith, Jr., for one publication and W. Thomas Smith for another) and other efforts that decrease identity ambiguity (e.g., use of research personnel registries such as Open Researcher and Contributor ID (ORCID)). Anonymity and pseudonyms are generally not allowed for Scholarly Work with the exception that if a patient meets criteria for Authorship of their own case report, the patient may choose not to be listed or listed under a generic descriptor (e.g., “The Patient” or “The Subject of The Case Report”).
- C. After submission of the Scholarly Work, the Author(s) must promptly review, attest to (if required) and adhere to any requirements put forth by the Publisher.

**Recognition as a Contributor**

- A. HCA Healthcare adopts the following criteria for recognition as a Contributor:
1. One who meets fewer than all four (including zero) of the criteria for Authorship (noting that individuals meeting all four criteria must be listed as an Author and not a Contributor); and
  2. Substantially conducts one or more of the 14 activities identified in the joint Consortia Advancing Standards in Research Administration (CASRAI) and National Information Standards Organization (NISO) Work Item Proposal of CRediT (Contributor Roles Taxonomy), specifically:
    - a. **Conceptualization:** Ideas; formulation or evolution of overarching research goals and aims.
    - b. **Data curation:** Management activities to annotate (produce metadata), scrub data and maintain research data (including software code, where it is necessary for interpreting the data itself) for initial use and later re-use.
    - c. **Formal analysis:** Application of statistical, mathematical, computational, or other formal techniques to analyze or synthesize study data.
    - d. **Funding acquisition:** Acquisition of the financial support for the project leading to this publication.
    - e. **Investigation:** Conducting a research and investigation process, specifically performing the experiments, or data/evidence collection.
    - f. **Methodology:** Development or design of methodology; creation of models.
    - g. **Project administration:** Management and coordination responsibility for the research activity planning and execution.
    - h. **Resources:** Provision of study materials, reagents, materials, patients, laboratory samples, animals, instrumentation, computing resources, or other analysis tools.

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- i. **Software:** Programming, software development; designing computer programs; implementation of the computer code and supporting algorithms; testing of existing code components.
  - j. **Supervision:** Oversight and leadership responsibility for the research activity planning and execution, including mentorship external to the core team.
  - k. **Validation:** Verification, whether as a part of the activity or separate, of the overall replication/reproducibility of results/experiments and other research outputs.
  - l. **Visualization:** Preparation, creation and/or presentation of the published work, specifically visualization/data presentation.
  - m. **Writing (Original Drafting):** Preparation, creation and/or presentation of the published work, specifically writing the initial draft (including substantive translation).
  - n. **Writing (Review & Editing):** Preparation, creation and/or presentation of the published work by those from the original research group, specifically critical review, commentary or revision – including pre- or post-publication stages.
- B. All those designated as Contributors should meet criteria for Contributorship, and all who meet the criteria for Contributorship should be acknowledged as Contributors.
- C. Contributors can be acknowledged individually and/or together as a Group Name Contributor (e.g., “Clinical Investigators” or “Participating Investigators”).
- D. Those identified as Contributors by name should give (preferably written) permission to use their name and confirm their assigned role(s) in the Scholarly Work. Because they are not Authors (who have to be responsible for the Scholarly Work in its entirety), a Contributor has the right to refuse to be listed as a Contributor.
- E. In general, but consistent with the Publisher’s guidelines, a Contributors contribution should be specified using the CRediT taxonomy and/or in brief detail (e.g., “served as scientific advisor,” “Medical Writer,” “critically reviewed the study proposal,” “collected data,” “provided and cared for study patients”).
- F. To promote transparency of underwriting costs, to the extent HCA Healthcare and/or one or more of its affiliated entities (i.e., our hospitals or physician practices) underwrote or sponsored any portion of the Scholarly Work (e.g., it was allowed to be done using company time, resources, data etc.) then the company should be recognized as a Contributor. Examples include “Resources were supplied by [Local Business Name(s)], an affiliate of HCA Healthcare” or “This research was supported (in whole or in part) by HCA Healthcare and/or an HCA Healthcare affiliated entity.”
- Reporting Authorship and Contributorship Disputes**
- A. Disputes on Authorship and Contributorship should first be addressed among the Authors. If the Authors are unable to come to consensus, the dispute should be elevated to the Author’s (or complainant’s) institution. [Note that Publishers generally do not settle

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Authorship disputes but do delay, withhold or retract publications because of them. Publishers also can negatively bias future requests against the Authors, complainants and/or their institutions.]

- B. If the Scholarly Work was already submitted to a Publisher, based on the complaint and/or the result of the investigation the institution may cause the Corresponding Author to do one or more of the following:
1. Withdraw the submission;
  2. Submit a revision if not yet published/presented;
  3. Submit a correction, retraction or update if already published/presented.

**Intellectual Property**

Being recognized as an Author or Contributor is independent of ownership or copyright of the Scholarly Work. Copyright and ownership of other intellectual property are subject to laws, regulations, employment/engagement arrangements, contracts, journal policies and other variables outside of the scope of this policy.

**DEFINITIONS:**

**Author** An individual that meets all four below criteria:

1. Substantial contributions to the conception or design of the Scholarly Work; or the acquisition, analysis, or interpretation of data for the Scholarly Work; and
2. Drafting the Scholarly Work or revising it critically for important intellectual content; and
3. Final approval of the version to be published; and
4. Agreement to be accountable for all aspects of the Scholarly Work in ensuring that questions related to the accuracy or integrity of any part of the Scholarly Work are appropriately investigated and resolved.

**Contributor** A Contributor is an individual who meets fewer than all 4 (including zero) criteria for Authorship but has performed activities towards the Scholarly Work that meet specified criteria for acknowledgement.

**Corresponding Author** The Corresponding Author is the one individual who takes primary responsibility for communication with the Publisher(s) during the submission, review, and publication process. This is purely an administrative role and, despite common misconceptions, neither equates to nor grants any kind of seniority. The Corresponding Author should be available throughout the submission and review process to respond to editorial queries in a timely way. The Corresponding Author should also be available after publication to respond to critiques of the Scholarly Work and cooperate with any requests from the Publisher should questions arise after publication.

**Courtesy Authorship** See **Honorary Author/Contributor**.

**Ghost Authorship/Contributor** The failure to acknowledge one or more individuals (with or without their consent/knowledge) who meet criteria for acknowledgement as an Author or Contributor. This may occur for various reasons including but not limited to (i) the desire to bestow Honorary Authorship/Contributorship upon one or more individuals; (ii) the desire to

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hide Authors/Contributors with a conflict of interest; or (iii) the manipulation of professional advancement opportunities and/or professional recognition away from a contributing individual. Perhaps with some exceptions (e.g., speech writers), Ghost Authorship/Contributorship is ethically unacceptable because the reader is misled as to the actual contributions made by the individuals (and their affiliated institutions) responsible for the Scholarly Work.

**Gift Authorship** See **Honorary Author/Contributor**.

**Group Name Authorship/Contributorship** A large multi-Author group who designate Authorship and/or Contributorship under a group name without the names of the individuals comprising of the group. Examples of Group Name Authorship include “\_\_\_\_\_ Hospital Trauma Team,” “Clinical Investigators,” etc. Listing the group name in the byline, however, does not alleviate the responsibility for clearly identifying the individual members of the group who were Authors and/or Contributors. Group Name Authorship also does not alleviate the criteria that those listed as Authors and/or Contributors have met the criteria for such.

**Honorary Author/Contributor** The acknowledgement of an individual as an Author and/or Contributor (whether they are aware of such acknowledgement or not) who did not meet the criteria for such acknowledgement. This is usually done (i) as a reward or inducement to an individual in exchange for other items or services of value; (ii) to increase the chance of publication and/or acceptance of the Scholarly Work in the scientific community; or (iii) via coercion from a supervisor or other person of influence over the Author(s). Honorary Authorship/Contributorship is ethically unacceptable because the reader is misled as to the actual contributions made by the individuals (and their affiliated institutions) responsible for the Scholarly Work.

**Medical Writers/Communicators** Medical Writers/Communicators are professionals who assist researchers in the preparation of manuscripts. They abide by a professional code of ethics (e.g., American Medical Writers Association) that includes full disclosure in the publication as to the Medical Writer’s involvement and funding source. Medical Writers are not automatically deemed Authors and Authors are not necessarily Medical Writers.

**Publish** The making of a Scholarly Work available outside of the Author’s institution, regardless if available to the general public or not. This can be done via many mechanisms including but not limited to (i) distributing a written manuscript via print or online posting (e.g., a medical journal or blog); (ii) presenting a presentation or poster at a scientific conference; (iii) displaying posters or other materials in public places or (iv) submitting to external entities (e.g., institutes of higher education) for peer review and/or academic credit.

**Publisher** A person or entity that facilitates the dissemination of a Scholarly Work to an audience outside of the institution. For purposes of this policy a Publisher can be journals, scientific congresses/conferences, social media platforms, podcasts, blogs and other hosts of digital or tangible content.

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**Scholarly Work** An output, usually resulting from original research or other formal evaluation, designed to be disseminated to a greater audience. Examples of Scholarly Work include but are not limited to a conference presentation or poster, an article or other manuscript, case histories drafted to be published, editorials and columns, books and book chapters, datasets for research data sharing, abstracts and lemmas, visualizations, social media postings, websites and other outputs whether or not human readable.

**REFERENCES:**

1. HCA Healthcare [Code of Conduct](#)
2. Publication Conflicts of Interest Disclosures, [EC.027](#)
3. Information Confidentiality and Security Agreements, [IP.SEC.005](#)
4. Copyright Policy, [LL.GEN.002](#)
5. International Committee of Medical Journal Editors (ICMJE)'s Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals (December 2019) ([www.icmje.org/icmje-recommendations.pdf](http://www.icmje.org/icmje-recommendations.pdf))
6. CASRAI CRediT (<https://casrai.org/credit/>)
7. Committee on Publication Ethics (<http://publicationethics.org>)
8. HHS's Office of Research Integrity (<https://ori.hhs.gov>)
9. Other Resources
  - a. Professional Associations
  - b. Publishers for which the Scholarly Work is being submitted.