

Northwestern University
Minutes of the Faculty Senate
Guild Lounge - Evanston, Wieboldt Hall 421 - Chicago
April 5, 2017

The regular monthly meeting of the Northwestern University Faculty Senate was held on April 5, 2017, at Guild Lounge in Evanston with videoconferencing to the Chicago campus in Wieboldt Hall 421. A number of Senators participated remotely. President Laurie Zoloth called the meeting to order at 5:32 p.m. A quorum was not present.

The President gave a report and introduced the guest speaker, Spencer Foundation President Michael S. McPherson, who spoke on the state of higher education in the United States and the challenges facing universities like Northwestern. Following this, Assistant Provost for Learning and Teaching Bennett Goldberg reported to the Senate on the work of the Searle Center for Advancing Learning and Teaching.

The presence of a quorum was then noted, and the March 2017 regular meeting minutes were approved.

The Senate heard reports from the chairs of standing committees. The Governance Committee reported two resolutions to amend the bylaws of the Faculty Senate for second reading. Subsequent to the counting of votes by email, the two resolutions were adopted as follows by a vote of 60-0:

Resolution #1: Housekeeping Amendments

Resolved, That the Bylaws of the Faculty Senate be amended as follows:

Article I: Functions:

Section 7: Strike out the existing Section 7 and insert “The Faculty Committee on Cause provides an initial evaluation of appeals by faculty members in cases where the administration has imposed a minor sanction or is pursuing suspension or termination for Cause. Each fall, the Faculty Senate’s Executive Committee will nominate seven Faculty Senate members to serve on the Committee on Cause. Two of the nominees must be non-tenure eligible faculty members. The President of the Faculty Senate will send the names of the seven nominees to the Faculty Senate’s membership. The Faculty Senate will then

consider those names and, by majority vote, approve the seven members of the Committee on Cause or propose other candidates to serve on the Committee on Cause.”

Article II:

Section 3: Strike out “supervised by the Faculty Senate in conjunction with” and insert “by”. After “the appropriate academic departments,” insert “and schools”.

Article IV:

Section 5: Insert at the end, “To expedite the posting of minutes on the Faculty Senate website, the minutes of any meeting of the Faculty Senate can be approved through an online vote with at least one-third of all Senators voting ‘yes’ and with no dissenting votes.”

Resolution #2: Substantive Amendments

Resolved, That the Bylaws of the Faculty Senate be amended as follows:

Article IV:

Section 2: Insert at the end, “The agenda (order of business) will include names of non-Senators who are permitted to address the Senate. Other non-Senators wishing to address the Senate must receive the approval of a majority of Senators present in order to do so.”

Section 3: Strike out “order of business” and insert “agenda (order of business)”. After “in consultation with the Executive Committee,” insert “The Faculty Senate, by a majority vote of members present, may amend the agenda (order of business).”

The Governance Committee and the President then reported on the status of efforts to include librarian faculty in the University Faculty Assembly and Faculty Senate. The Governance Committee reported the following resolution for first reading:

A Resolution to Establish the Membership of Librarian Faculty in the University Faculty Assembly and Faculty Senate

Resolved, That the Faculty Senate recommends the following be inserted at the end of the description of “Regular Faculty” in the Northwestern University Faculty and Staff Information System Manual: “For the purposes of membership in the University Faculty Assembly and Faculty Senate, librarian faculty shall be considered regular full-time faculty”;

Resolved, That the following be inserted in Article II, Section 1 of the Bylaws of the Faculty Senate immediately after the second sentence: “The University Libraries shall elect two librarian faculty to represent all departments and faculty that report to the Dean of Libraries”; and

Resolved, That the above amendment to the Bylaws of the Faculty Senate shall take effect immediately following the amendment of the Faculty and Staff Information System Manual as described in this resolution.

The President then introduced the following resolution, which was adopted by a vote of 32-0 following debate:

Whereas, Librarian faculty are an integral part of Northwestern University and make possible this institution's teaching and research missions;

Resolved, That it is the sense of the Faculty Senate that librarian faculty ought to be included in Northwestern University Faculty Assembly and Faculty Senate;

Resolved, That the Governance Committee be charged with drafting an amendment to the University Statutes in consultation with representatives of the University Libraries in order to include librarian faculty in the structures of faculty governance; and

Resolved, That the Faculty Senate calls upon the central administration and Board of Trustees of the University to act expeditiously on the amendment of the University Statutes once such a recommendation is made.

The Faculty Handbook Committee introduced the following addition to the Faculty Handbook for first reading, which would be inserted as the third paragraph of page 17 of the Faculty Handbook:

Northwestern University does not permit any form of harassment, whether or not linked to discrimination, by any member of its community against any individual or group. Abusive verbal, physical or visual conduct that has a level of intensity that interferes unreasonably with an individual's or group's academic or work performance or creates what a reasonable person would perceive is an intimidating, hostile, or offensive environment is prohibited harassment.

The Research Affairs Committee then introduced draft authorship guidelines for first reading (*Appendix A*).

Following the conclusion of standing committee reports, the Senate received a report on shared governance from Senate Researcher Jared Spitz.

The meeting adjourned at 7:19 p.m.

Joshua L. Mayer
Administrative Coordinator

Authorship Guidelines – DRAFT

Scholarly integrity and the responsible conduct and reporting of research are essential for maintaining public trust in the research enterprise and for community benefit from research discovery. These guidelines are meant to clarify and specify the University’s principles on scientific and scholarly publications to enhance the scholarly environment and promote a coherent approach to authorship across the University.¹²

I. INTRODUCTION

Scientific and scholarly publications, such as books, articles, abstracts, presentations at professional meetings, and grant applications, provide the main vehicle to disseminate findings, thoughts, and analysis to the scientific, academic, and lay communities. For academic activities to contribute to the advancement of knowledge, they must be published in sufficient detail and accuracy to enable others to understand and elaborate the results. For the authors of such work, successful publication is an important means by which scholarly work can lead to significant impact within their field and to the larger society and improves opportunities for academic funding and promotion while enhancing scientific and scholarly achievement and reputation. At the same time, the benefits of authorship are accompanied by a number of responsibilities for the proper planning, conducting, analysis, and reporting of research, and acknowledging the content and conclusions of other scholarly work. As members of the academic community, it is the responsibility of Northwestern faculty, staff and students to help protect these fundamental elements of the scientific and scholarly process.

II. AUTHORSHIP STANDARDS

Authorship of a scientific or scholarly paper should be limited to those individuals who have contributed in a meaningful and substantive way to its intellectual content. All authors are re-

¹ Northwestern acknowledges the Policy of Washington University as providing an example for this policy. Policy for Authorship on Scientific and Scholarly Publications. Washington University (St. Louis, Mo.). Referenced March 7, 2012. <http://wustl.edu/policies/authorship.html>.

² Northwestern acknowledges Yale University’s Guidance on Authorship in Scholarly or Scientific Publications as providing an example for this policy, <http://provost.yale.edu/policies/academic-integrity/guidance-authorship-scholarly-or-scientific-publications>.

sponsible for fairly evaluating their roles in the project as well as the roles of their co-authors to ensure that authorship is attributed according to these standards in all publications for which they will be listed as an author.

An author is generally considered to be an individual who has made substantial intellectual contributions to a scientific or scholarly publication. All authors should meet the following three criteria, and all those who meet the criteria should be authors:

1. Scholarship: Contribute significantly to the conception, design, execution, and/or analysis and interpretation of data.
2. Authorship: Participate in drafting, reviewing, and/or revising the manuscript for intellectual content.
3. Approval: Approve the manuscript to be published.

Significant diversity exists across academic disciplines regarding acceptable standards for substantive contributions that would lead to attribution of authorship. These guidelines are intended to allow for such variation in disciplinary best practices while ensuring authorship is not inappropriately assigned.

Broad common sense best practices regarding authorship, applicable to almost all disciplines, are expected. These include clearly discussing, early in the scholarly process, potential sources of ambiguity and disagreement, including the ordering of authors. Principal investigators are encouraged to discuss, early and unambiguously, authorship related questions with all members of their research groups, including undergraduate and graduate students, and research assistants.

A. Lead Author(s)

As a practical matter in the case of publications with multiple authors, one author is often designated as the lead author. The lead author assumes overall responsibility for the manuscript and may also serve as the managerial and corresponding author. A lead author is, however, not necessarily the principal investigator or project leader. The lead author is ultimately responsible for ensuring that all other authors meet the requirements for authorship as well as ensuring the integrity of the work itself. The lead author is also responsible for ensuring that all authors have read and approved the manuscript in its entirety.

There are occasions when multiple, equal contributions lead to more than one co-contributing lead author. In cases where there are co-contributing lead authors, all assume the lead author

responsibilities. In some disciplines, the concept of a lead author is absent. In these cases, all authors share the lead author responsibilities.

If the lead author has concerns or questions regarding any of his or her responsibilities, he or she should seek guidance from his or her research or scholarly supervisor, department chair, or research dean.

B. Co-Author(s)

Each co-author is responsible for considering his or her role in the project and whether that role merits attribution of authorship. Co-authors should review and approve the manuscript. Every co-author is responsible for the content of the manuscript, including the integrity of any applicable research.

C. Unacceptable Authorship

Northwestern University, as a leading academic institution and training environment for future researchers and academic leaders, wishes to encourage only proper forms of authorship to serve as role models for our many students, post-doctoral fellows, and faculty. Guest, gift and ghost authorship are inconsistent with the definition of authorship.

1. Guest authorship (i.e., honorary, courtesy or prestige authorship) is granting authorship to an individual who does not meet the definition of author out of appreciation or respect for the individual, or in the belief that the expert standing of the guest will increase the likelihood of publication, credibility, or status of the work.
2. Gift authorship is credit, offered from a sense of obligation, tribute, or dependence, within the context of an anticipated benefit, to an individual who has not contributed to the work.
3. Ghost authorship is the failure to identify as an author someone who made substantial contributions (i.e., meeting the definition of authorship) to the research or writing of a manuscript.

D. Acknowledgements

Individuals who do not meet the requirements for authorship but who have provided a valuable contribution to the work should be acknowledged for their contributing role as appropriate to the

publication.

E. Research Funding

All authors, in manuscripts submitted for review and publication, should acknowledge/disclose the source(s) of support for the work. Support includes research and educational grants, salary or other support, contracts, gifts, and departmental, institutional and hospital support.

F. Financial Conflicts of Interest

Authors should fully disclose related financial interests and outside activities in publications (including articles, abstracts, manuscripts submitted for publication), presentations at professional meetings, and applications for funding.

In addition, authors should comply with the disclosure requirements of the University's Policy on Conflict of Interest and Conflict of Commitment and Policy on Conflict of Interest in Research.

III. AUTHORSHIP DISPUTES

Determinations of authorship roles are often complex, delicate and potentially controversial. To avoid confusion and conflict, discussion of attribution should be initiated early in the development of any collaborative publication. For disputes that cannot be resolved amicably, including disagreements regarding the ordering of the authors in the publication, individuals may seek the guidance of the relevant department chair(s), or the research dean of their school.

Authorship disputes, including disagreement about authorship order, do not constitute research misconduct.