U.S. Department of Transportation
Federal Highway Administration

Memorandum

Subject: **ACTION:** Authorship Policy

Date: February 22, 2022

From: **Thomas D Everett**
Executive Director
Office of The Federal Highway Administrator

In Reply Refer To: HRTM

To: **Associate Administrators**
Chief Counsel
Chief Technical Services Officer
Directors of Field Services

Given the Presidential Memorandum on Restoring Trust in Government Through Scientific Integrity and Evidenced-Based Policymaking issued on January 27, 2021, the Federal Highway Administration (FHWA) has developed the attached authorship policy.

It is important to ensure transparency with the public by identifying which authors are responsible for the information and conclusions in research products. Identification of the contributors helps establish public confidence in scientific integrity of the products. This policy will help FHWA staff comply with the Memorandum on Restoring Trust in Government Through Scientific Integrity and Evidenced-Based Policymaking by ensuring that all Agency activities associated with scientific and technological processes are conducted in accordance with the six principles set forth in the Presidential Memorandum of March 9, 2009, and the four foundations of scientific integrity in Government set forth in part I of the Director's Memorandum of December 17, 2010, both reaffirmed in the latest Presidential Memorandum.

If you have any questions about the interim policy, please contact Shana Baker, Director Office of Corporate Research, Technology, and Innovation Management at 202-493-3181.

Attachment

Authorship Policy of the Federal Highway Administration

1. Purpose

This Policy will ensure that Federal Highway Administration staff and individuals that make substantial intellectual contributions to scientific and technical products such as, but not limited to, the American Concrete Institute Journals, American Journal of Physics, American Society of Civil Engineers, Institute of Electrical and Electronics Engineers are listed as contributors of the work product. Authorship and publication of scientific and technical products are important to the authors of these products, as authorship and publication influence their reputation and it establishes accountability and informs the public of those responsible for the information and conclusions of FHWA work products.

2. Laws, Regulations, and Policies

All staff and individuals involved with writing scientific and technical products for publication shall comply with existing law and policy. Applicable law, regulations, and policies related to this Policy include:

- Presidential Memorandum on Restoring Trust in Government Through Scientific Integrity and Evidence-Based Policy Making (January 2021)
- Executive Order 14007 President's Council of Advisors on Science and Technology (January 2021)
- U.S. Department of Transportation Implementation of Departmental Scientific Integrity Policy (April 2012)
- Director of the Office of Science and Technology Policy Memorandum (December 2010)
- Presidential Memorandum on Scientific Integrity (March 2009)

3. Authorship Criteria

The term "author" applies to an individual who makes substantial contribution to scientific and technical products as noted above. To qualify as an author, an individual must make a substantial intellectual contribution to the work product or provide substantial technical revisions that reflect substantive intellectual content.

Substantial intellectual contributions would include concept, design, development, analysis, writing, and technical supervision of the research design and methodologies developed or used in the work product. An author who has made a substantial contribution to the work product, independent of rank, status, or affiliation, should be named as such. Generally, author affiliation is not included but may be identified for biographical purposes only.

Where more than one individual meets the criteria for being named as an author, names shall be listed in order of decreasing involvement in the creation of the work product. That is, the first name in the author list shall be that of the individual who made the greatest contribution to the work product. Disagreements and conflicts over the assignment and ordering of authors should be resolved as follows:

Contributors to the scientific and technical product should first attempt to resolve any dispute over authorship issues themselves, through the careful consideration of this policy. However, if a contributor considers the outcome of that process to be unsatisfactory, the individual may request assistance from management to facilitate resolution. If resolution is unattainable with the assistance of direct management, the dispute should be elevated up one level of management. The publication lead, in consultation with the individuals serving in these management roles, will have the final authority to resolve the dispute. If the dispute involves coauthors from different organizations, management from involved organizations should be included in discussions to reach resolution.

Contributors who do not meet the criteria for authorship may be named in an Acknowledgments section of the product with their affiliation for biographical purposes only and specific contribution defined. Contributions worthy of acknowledgment can include literature review, data collection and analysis, statistical consultation, editorial or technical review and assistance (without prior or continuing involvement in the publication), or routine assistance with developing the product.

4. Office of Public Affairs

The Office of Public Affairs publications review process continues to apply to a) ensure coordination with the Office of the Secretary -Public Affairs, b) address press interest and media inquiries on the research topic, c) identify potential promotional opportunities, and d) for awareness of the work product and the timing of its release.

Questions about the authorship policy should be directed to Shana Baker, Director of the Office of Corporate Research, Technology, and Innovation Management at 202-493-3181.