



BEFORE A MANUSCRIPT IS SUBMITTED

The Authorship Checklist may be used for manuscript submissions, publication reviews, routine research security monitoring, and/or sponsor inquiries.

HOW TO USE THIS CHECKLIST

- 1 Start early - ideally before collaboration begins or manuscript preparation starts
- 2 Answer based on your knowledge and role - do not guess
- 3 If unsure, seek guidance from your institutional offices
- 4 Follow your institution's processes for review and approvals
- 5 Reconfirm before submissions - things may change

Does this publication involve ANY of the following?



**Federal
Funding**



**International
Collaborators**



**Foreign
Institutions**



**Sensitive
Research or
Technologies**



**External Data,
Materials, or
Software**



**Industry
Support or
Sponsorship**



**Export
Controlled
Work**



**Patents, IP, or
Proprietary
Information**

NO

None of the above apply

- You can proceed with your normal publication process
- Follow your institution's processes for review and approvals

YES

One or more apply

- Continue through this checklist to identify anything that may require disclosure, review or additional actions

WHEN IN DOUBT, ASK.



It is your responsibility to ensure the accuracy and consistency of authorship, disclosures, and all information associated with your publication.



RECORD KEEPING

Keep this checklist with your publication records.



FURTHER REVIEW

Checklist may not be comprehensive and is provided for informational purposes only. Additional considerations may be required.



STEP 1

AUTHOR & AFFILIATION INFORMATION

WHY THIS MATTERS

Accurate author and affiliation information ensures proper attribution, transparency, and compliance with sponsor and journal requirements.

ASK YOURSELF

Are your affiliations accurate and consistent across the manuscript and relevant records (e.g., ORCID, CV, Institution system)?

Have you mentored, collaborated with, supervised, or otherwise worked with any graduate students, postdoctoral fellows, visiting scholars, trainees, former lab members, or individuals now affiliated with another institution?

Do any of these individuals have known foreign or external institutional affiliations that may require disclosure or review? If unsure, contact your Research Security or Export Control Office.

MY ANSWER

Yes
No
Not Sure
N/A

Yes
No
Not Sure
N/A

Yes
No
Not Sure
N/A

EXAMPLE

Include current and relevant historical affiliations if work was conducted at a different institution

Includes individuals who have moved to another institution but remain co-authors, collaborators, or have contributed to work

A collaborator or former trainee now holds a foreign university appointment or participates in a foreign research program

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STEP 2

COLLABORATIONS & FOREIGN ENGAGEMENTS

WHY THIS MATTERS

International collaborations may require additional review depending on funding sources, export regulations, or institutional risk.

ASK YOURSELF

Does this work involve collaborators or institutions in a Foreign Country of Concerns (FCOC)?

Is this collaboration informal or not covered by an approved institutional agreement?

MY ANSWER

Yes
No
Not Sure
N/A

Yes
No
Not Sure
N/A

EXAMPLE

Researchers, laboratories, or organizations located in China, Russia, Iran, North Korea, and/or other FCOC as defined by your institutional policy

Independent collaboration, partnerships, email exchanges, or data sharing not under an MTA/DTA

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STEP 3

FUNDING & DISCLOSURES

WHY THIS MATTERS

Funding disclosures must be complete and consistent to meet sponsor, institutional, and journal requirements.

ASK YOURSELF	MY ANSWER	EXAMPLE
Is your funding statement accurate and consistent with sponsor disclosures, proposal, award, and institutional records?	Yes No Not Sure N/A	Include all federal, non-federal, and foundation support
Have you acknowledged all funding sources, including subawards, consortia, core facilities, or institutional support?	Yes No Not Sure N/A	Include resources such as shared facilities, institutional resources, or consortium support
Are you following your funding agency's specific publication and disclosure requirements?	Yes No Not Sure N/A	Agency-specific policies (e.g., NIH, NSF, DOE, DOD, NASA), award terms, or publication conditions
Are industry or external financial interests related to this work disclosed as required?	Yes No Not Sure N/A	Consulting, equity ownership, advisory roles, or sponsored activities

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STEP 4

RESEARCH, DATA & EXPORT CONSIDERATIONS

WHY THIS MATTERS

Certain research, data, or technologies may require export licenses, approvals, or additional safeguards.

ASK YOURSELF

Does this work involve controlled technologies (items, software, or technical data subject to U.S. export controls), equipment, software, or technical data?

Does this involve sensitive data or information?

MY ANSWER

Yes
No
Not Sure
N/A

Yes
No
Not Sure
N/A

EXAMPLE

E.g., advanced computing, AI, biotechnology, lasers, robotics, semiconductor technologies, advanced materials, or encryption technologies.

E.g., PHI, human subjects' data, genomics data, geospatial data, dual-use information

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STEP 5

DOCUMENTATION & FOLLOW-UP

WHY THIS MATTERS

Certain research, data, or technologies may require export licenses, approvals, or additional safeguards.

ASK YOURSELF	MY ANSWER	EXAMPLE
Do you have documentation to support affiliations and disclosures?	Yes No Not Sure N/A	Approval records, licenses, MTAs, funding confirmations, COI disclosures
Have you acknowledged all contributors and in-kind support as appropriate?	Yes No Not Sure N/A	Shared equipment & facilities, data providers, technical assistance, core resources, consultants or research materials
Is anything unclear or incomplete that requires guidance before submission?	Yes No Not Sure N/A	Disclosure questions, sponsor requirements, or collaboration concerns

WHEN IN DOUBT, ASK.



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STEP 6

ADDITIONAL INFORMATION

PROVIDE ADDITIONAL INFORMATION / COMMENTS

Use this space to capture additional context, questions, or items that may require follow-up or guidance.

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NEXT STEPS

IF YOU ANSWERED YES OR NOT SURE

If you answered

YES
or
NOT SURE

to any items

- Contact the appropriate office for guidance
- Follow institutional and sponsor requirements
- Keep documentation of communications and approvals

WHY TO GET HELP?

Topics covered in this checklist are important because they help ensure compliance with funding requirements, protect sensitive research, and prevent risks to you, your institution, and your collaborators.

WHERE TO GET HELP

 Research Security Office	For risk reviews, foreign engagements, sensitive research questions
 Export Control Office	For export laws, licenses, and controlled items
 Sponsored Programs Office	For funding, disclosures, and sponsor terms
 Compliance / Legal Office	For COI, IP, contracts, and policy questions

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