

# *Department of Psychology: Authorship Credit and Ownership of and Access to Data Guidelines*

*(prepared by Grad Exec; adopted by the Psych. Dep.t, 18 November 2003)*

## **Preamble**

Publishing is the essence of science, and learning to publish is an important component of learning to conduct scientific research. Within the department, there are many instances of multi-authored publications, and it is important for the ethics of authorship to be explicit and relatively uniform, particularly as they apply to publications co-authored by supervisors and graduate students.

This document contains the following information: (1) the policy for publication credit developed over many years by the American Psychological Association (APA) that guides the professional conduct of all psychologists; (2) UVic policy about data ownership and intellectual property; (3) departmental guidelines related to these policies; and (4) best practices and recommendations for negotiating authorship credit, taken from an article by Fine and Kurdek (1993), conclude this document.

These guidelines apply to all members of the Department of Psychology.

## **APA: Ethical Principles of Psychologists and Code of Conduct**

The following is from section 1.03 of the Publication Manual of APA (pp. 6-7):

*Authorship is reserved for people who*

- c) A student is usually listed as principal author on any multiple-authored article that is substantially based on the student's dissertation or thesis.

## Data Access and Ownership

This material is excerpted from Section 2.0 Contributions, UVic Policy on Intellectual Property (#1180, Nov 2000):

*[Intellectual property] is frequently the result of collaborative or cooperative activities between or among University members. This article deals with the relations between or among several creators of a single work or property.*

*The University is committed to the Tri-Council position that authorship of published work includes all those who have materially contributed to, and share responsibility for, the contents of the publication, and only those people, and expects compliance with this policy statement by members of this University.*

*Standards for the discipline, where they exist, should be applied when determining proportionate contributions to a scholarly or creative work. In the event of commercialization, all intellectual contributors to the work should be entitled to share in the proceeds in proportion to their contributions, unless the entitlement to share within the framework of this policy has been willingly waived through informed consent or previously agreed to through a written arrangement.*

....

*Student theses, projects, graduating papers and artistic productions are special cases of scholarly work. Students are the primary authors of their creations, but the work is carried out under the supervision of faculty members. Publications or works coming from student research or creative activity must acknowledge appropriately all contributors to the work. The appropriate Dean and the departmental Chair, in consultation with the Dean of Graduate Studies or the Office of the Vice President Research (OVPR), is responsible for ensuring that there is a process to address the students' interest with respect to: the protection of their IP; the freedom to publish results in open literature; and the discussion of the research or creation in internal venues. Students should not be*

can take over the lead and be listed as principal author. The student, however, remains an author on the article.

- b) Regarding course and other research activities: The same timeliness is expected for publishing research results produced in courses and other research activities.
2. Any and all papers reporting research performed under the direction of a supervising faculty member (i.e., not necessarily the chair of the student's supervisory committee) be submitted to the supervisor for scrutiny before being submitted for publication, for two reasons. First, supervisors retain the right of first refusal on authorship of any work conducted under their supervision. Second, supervisors have the right to prohibit publication of questionable data or interpretations, because supervisors are responsible for the quality of research conducted in their labs.
  3. A student can be a sole author or a co-author with other students when the research has not involved a faculty member's intellectual input. However, research involving human subjects, which must be signed off by a faculty member, is subject to guideline #2 above.
  4. All sources of funding for research must be acknowledged.
  5. If the supervisor and student cannot agree, even after consultations with peers, on their authorship-related decisions, an ad hoc third party arbitration process should be established in the department beginning with Grad Executive composed of faculty and the student representative.

## Best Practices & Recommendations

- abstracted from Fine & Kurdek (1993):

### Process Recommendations

1. Early in the collaborative endeavour of preparing a paper for publication, the supervisor should provide the student with information related to (a) how authorship decisions are made, (b) the nature of professional and non-professional contributions to publications, (c) the meaning of authorship credit and order, and (d) the importance of both parties agreeing on what contributions will be expected of each collaborator for a given level of authorship credit. This information will provide the student with the knowledge necessary to exercise his or her autonomy and to choose whether to

