ISU ADVANCE Program
Research, Scholarship, and Authorship Guidelines[1]

1 Goals of Research, Scholarship, and Authorship Guidelines

A key goal of the ISU ADVANCE Program is to disseminate findings and successes beyond ISU. Given the nature of the ISU program, such dissemination will often be a collaborative project and will, even in single-authored publications, build on the overall strength of the program.

A secondary goal is to offer faculty, staff, and graduate students involved in the program significant opportunities to channel their participation into publications, presentations, and scholarly products that will advance their careers.

To meet these goals, program members have identified a process and criteria by which decisions about authorship will be made. A primary goal of this process is information sharing among those involved in the program and the development of scholarly products out of program resources and responsibilities. Most authorship designations will be straightforward, but in all cases, using the same process will allow program participants to develop a working model of authorship during and after the life of NSF ADVANCE funding. The authorship designation will be a consultative process, as outlined below.

2 Types of dissemination in ISU ADVANCE Program

2.1 The most important products will be publications in referred journals and books; such publications may have single or multiple authors.

2.2 Annual reports to NSF are "authored" by the co-PI team. All who are members of the current co-PI team will be credited. Past team members or other ISU ADVANCE partners[2] may also be credited for their contributions in a note that specifies their efforts.

2.3 Presentations at NSF annual meetings are also "authored" by the current ISU co-PI ADVANCE team, augmented as appropriate by other ADVANCE partners; the actual presenters at such meetings may or may not include the entire team or all listed co-authors.

2.4 Posters and presentations may also be given at conferences within a team member's or ADVANCE partner's discipline(s). These may have single or multiple authors.

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[1] Guidelines developed from 2006-2008 by members of the ISU ADVANCE co-PI team, including Sharon Bird, Bonnie Bowen, Susan Carlson, Diane Debinski, Carla Fehr, Sandra Gahn, Florence Hamrick, Carolyn Hesing, Frankie Laanan, Judy Vance.

[2] ISU ADVANCE partners include members of the ADVANCE Council and may include focal department chairs.

2.5 Presentations to audiences outside the ADVANCE network, ISU departments (not focal departments), at universities and colleges (not ISU) and for community and student organizations. Titles of these presentations will be recorded for reporting, but they will not be issued an ADVANCE publication number, unless the author requests one.

3 Oversight Process

All research and scholarship products that grow out of the work of the ISU ADVANCE Program should be reviewed through the following process.

3.1 The ISU ADVANCE Steering Committee will serve as a dissemination oversight committee (DOC) to review all dissemination plans (including NSF reporting) and keep track of the publication and presentation of research and scholarship. The DOC will update the ADVANCE co-PIs regularly and work with that group to identify any gaps in planned dissemination. The Steering Committee/DOC will also report dissemination plans to the ADVANCE Council each semester. The primary role of the DOC will be to coordinate dissemination of research and scholarship; should any disputes over authorship or dissemination arise, the DOC will be augmented with one additional member suggested by each of the disputing parties to work through a resolution (these additional members will normally be ISU ADVANCE partners or co-PIs).

3.2   As soon as a co-PI or an ADVANCE partner understands herself/himself and others (if others are involved) to have developed a research/scholarship project with dissemination potential, s/he should fill out the "dissemination plan form". Defining this moment of submission will differ for various scholarly products, but co-PIs or ADVANCE partners will submit a form NO LATER THAN the date of submission for a presentation or a publication. Designation of authors at this point may differ from designation of authors once the project is more fully developed, as noted in 3.5. All scholarly products related to participation in or funding from ISU ADVANCE/NSF should be reported.

3.3 The DOC will consider the plan and, if necessary, seek additional input from ADVANCE co-PIs and partners to ensure that authors listed are expected to contribute meaningfully to the end project. The lead author is expected to include as authors those who contribute to the end product (e.g., poster, presentation, report, publication). The DOC's objective is not to impose non-contributors onto others' projects, and all partners are bound by University codes of ethics and disciplinary codes of ethics where appropriate.   Any disagreements between the potential author(s) and the DOC will be discussed with the PI to ensure timely resolution.

3.4 Dissemination plan forms agreed to by the author(s) and the DOC will be kept in a WebCT folder and will be accessible to all ADVANCE Council members.

3.5 The person designated as the lead author will be responsible for reporting any changes in authorship to the DOC and submitting an amended dissemination plan form for posting in WebCT.

4 Guidelines for the Authorship of ADVANCE Research and Scholarship

Two key issues are among those that should be considered in defining research and scholarship projects in the ISU ADVANCE Program.

People being included as authors when they don't want to be. For example, some disciplines like philosophy or physics have been very slow to engage in feminist research or practices; as a result, some of the research that members of the ADVANCE team may conduct, even though it is excellent in its own right, may do more harm than good on a philosophy or physics faculty member's CV. As a result, it is crucial that all authors included in authorship lists agree to being listed.

People not being included as authors when they want to be. Different disciplines have different standards for who is included as an author and for determining the order of authorship. What from one disciplinary perspective may be seen as a standard courtesy may from a different disciplinary perspective be seen as free riding. There will also be cases in which our ADVANCE team members or partners will collaborate with teams from other ADVANCE institutions. In these cases it is likely that only one or possibly two ISU personnel can be included as authors.

Guidelines for defining authorship follow.

4.1 ADVANCE co-PIs and partners do not receive authorship on research papers or publications automatically based on being a co-PI or ADVANCE partner, but rather based on contributions to research manuscripts, presentations, reports, etc. "Contributions" may, however, come in many forms (i.e., not just analyzing or collecting data). Some examples of contributions that might warrant inclusion would be:

--statistical analysis of data
--participating in the development of key ideas/concepts original to the paper
--researching published literature related to the paper
--writing and interpretation of the results of a statistical analysis
--extensive editing and rewriting of a manuscript someone else drafted.

4.2 Those who have made a substantial contribution to the work, while not meeting the criteria for authorship, should be identified in a note and acknowledged by name, with permission. This may include sharing of research data, assistance in grant writing, or contributed service critical to the project.

4.3 Co-authors will include an endnote that explains contribution to the paper (Note: the journal *Nature*, and other notable journals use this policy). If the target journal does not accept such endnotes, the information will be kept on file in WebCT. Co-authors should determine as early as possible the percentage of each individual's contribution to the project, although it is understood that these percentages will likely change.

4.4 In general, a research or scholarly paper will begin when one or more co-PIs or ADVANCE partners propose preparing a paper or presentation. The lead author will assume responsibility for being the contact with the DOC. The lead author provides the information for the reporting form (outline, including the argument and the hypothesis for the paper, and data sources to be used).   Each authorship team will determine the role of the lead author and others involved in the project; in some disciplines, the lead author will be the first author listed and will take primary responsibility for writing the theoretical framework of the paper, writing the review of relevant literature (if applicable), and for pushing the paper through to completion. The order of authorship as listed on publications or presentations varies from discipline to discipline, so each authorship team should come to agreement about the order and what it means.

4.5 The lead author can call on other members of the co-PI team or ADVANCE partners to contribute to the paper depending on their expertise. Such invitations will be determined by the lead authors and should follow guidelines in sections 4.1 and 4.2. Disciplinary practice, publication or presentation deadlines or external invitations may also play a role in the lead author's decisions about collaboration. Scholarly deliverables for all co-authors will likely involve a specific task and a deadline. Completing the task in a satisfactory manner by the deadline merits inclusion as an author.

4.6 Much of this ISU ADVANCE research and scholarship should be disseminated as quickly as possible, preserving a high standard of quality. As a result, the lead author may choose to step down if the paper cannot be completed in a timely fashion. Similarly, if a co-author cannot complete part of the paper in a timely manner, s/he may choose to step down, the lead author may talk with the co-author and, together, they may determine that the co-author should step down. The DOC may ask a lead author or a co-author to step down after consultation with the parties.

4.7 ADVANCE team members and partners have an obligation to ensure that the papers and presentations directly related to the success of the ISU ADVANCE Program be completed in a timely manner, and that papers more peripherally related to the project (that utilize the data collected for ADVANCE purposes) not interfere with the completion of primary ADVANCE research, scholarship, and reporting.

4.8 In the case of papers an ADVANCE co-PI or partner wishes to write either as a sole author or with collaborators outside the ISU ADVANCE Program, the team member/partner must:

--inform the DOC

--explain why the paper is necessarily sole-authored or requires collaboration outside of ADVANCE team members and partners.

5 Acknowledgement of Support

In accordance with the NSF Grant Policy Manual, the lead author should assure that the following conditions are met when papers are submitted for publication or material is posted on a Web site:

5.1 The grantee is responsible for assuring that an acknowledgment of NSF support is made:

(i) in any publication (including Web pages) of any material based on or developed under this project, in the following terms:

"This material is based upon work supported by the National Science Foundation under Grant No. SBE 06003999."

(ii) NSF support also must be orally acknowledged during all news media interviews, including popular media such as radio, television and news magazines.

b. Disclaimer. The awardee is responsible for assuring that every publication of material (including World Wide Web pages) based on or developed under this award, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer:

"Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Science Foundation."

Dissemination Plan Form
ISU ADVANCE Program

Please supply the following information to the dissemination oversight committee (DOC). Submissions should be made to the program assistant by e-mail, who will number submissions, distribute to the DOC, and file in Web CT. The DOC will report to the ADVANCE co-PIs regularly on planned projects. Reports will be made to the ADVANCE Council twice a year.

This form should generally be one page or less.

1. Date: _____

2. Project Title: _____

3. Lead author (and contact to DOC): _____

4. Other co-authors: _____

   _____

5. Order of authors on submission (if known):_____

   _____

6. Percentage of contribution (if known): _____

7. Immediate goal for this project (manuscript, presentation, abstract): _____

   _____

8. Future plans for this project:_____

   _____

9. Projected date of completion or presentation: _____

10. Brief project description (may include outline, argument, hypothesis, key data sources):

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11. For single authored projects or projects prepared in collaboration with those outside of the ISU ADVANCE Program, please explain why the paper/presentation is sole-authored or requires collaboration outside of those affiliated with the ISU ADVANCE Program.

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