**Authorship and Research Collaboration Plan\***

A key factor contributing to the success of a collaboration is whether responsibilities and expectations are clearly, respectfully, and honestly discussed within the team. The purpose of this document is to help facilitate that process. It is recommended that the document be revisited on a consistent basis (e.g., once per semester) or as the membership or other important facets of the collaboration change.

**Description of the Research Collaboration**

In the box below, provide a brief description of the collaboration, including aspects such as its anticipated topical focus and approach:

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**Team Roles and Responsibilities**

Describe the main roles and responsibilities that each member of the team is expected to have:

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| --- | --- |
| Name | Roles and Responsibilities |
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**Team Meetings and Communication Strategies**

Describe the anticipated team meeting frequency and primary communication methods or strategies:

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**Timeline and Objectives**

Provide an outline of the anticipated project timeline and objectives:

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| --- | --- |
| Timeline | Objectives |
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**\*Please note that this document is NOT a legally binding agreement or a contract. It is intended for informational and educational purposes only.**

**Authorship Criteria**Authorship norms and conventions can vary depending on factors including field-specific practices, institutional policies, and guidelines from professional journals or funding sponsors. However, common authorship criteria in STEM fields include whether each person:

* Made a significant scientific/intellectual contribution;
* Had a meaningful role in writing and/or revising the work product;
* Reviewed the final work product and agreed to have their name listed on it; **and**
* Expressed a willingness to be held accountable for all (or at least some portion of) the work product.

Normally all four of the above criteria, and perhaps others as well, guide determinations on who has earned authorship on a scholarly work product.

Identify/describe the authorship criteria that the team plans to use:

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**Author Order**

As with authorship criteria, varying norms can guide the order of authors on a scholarly work product. Some common conventions include alphabetical order or ordering in terms of the significance of the intellectual contribution. A variation on the latter ordering scheme, somewhat typical in STEM fields, is to list the project supervisor last. It is important to have conversations about ordering expectations, including when team members have different ordering preferences and when the roles, responsibilities, or membership within the team change.

Describe the author order strategy that the team plans to use:

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**Acknowledgments**

Acknowledging individuals or entities who had a role related to research, which did not reach the level of authorship, is a common and important practice. A standard expectation is that individual people are asked whether they agree to be acknowledged before listing them in an acknowledgments section.

Describe the individuals, organizations, or sponsors who are likely to be acknowledged for their role related to the research:

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**Thesis, Dissertation, or Other Student Work Products**

What can help promote student progress towards degree and career goals is to have clear, ongoing discussions regarding which intellectual content from a collaboration can be included in a student’s thesis, dissertation, or other work products. It can also be important to discuss this topic in terms of how to manage situations where two or more students are collaborating with one another.

Describe the norms, policies (including from Georgia Tech or sponsors), or other considerations that will guide decisions about which intellectual content from the collaboration can be included in a student’s thesis, dissertation, or other work products:

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**Use of Research Data After the Collaboration Concludes**

The ability to continuing accessing or using research data after a collaboration concludes, or when a team member leaves, can be determined by sponsor rules, institutional policies, and professional norms and practices along with other considerations.

Describe the norms, policies (including from Georgia Tech or sponsors), or other considerations that will guide decisions about which team members are, or are not, permitted to access or use research data after concluding or leaving the collaboration:

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**Publication/Dissemination Plans**

Describe the publication/dissemination plans that the team might have for content emerging from collaborative work; this could include, for example, conference presentations or journal articles:

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**Financial Aspects of the Collaboration**

Describe the financial aspects of the collaboration, including possible funding sources and whether resources are available to cover equipment purchases, travel, or publication fees:

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**Legal Ownership and Intellectual Property**

For information about the ownership of copyrights, patents, or other types of intellectual property created during Georgia Tech research activities, refer to the [Georgia Tech Intellectual Property Policy](https://policylibrary.gatech.edu/faculty-handbook/5.4-intellectual-property-policy).

Describe the types of intellectual property, if any, that might emerge from the collaboration:

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**Authorship or Collaboration Disagreements**

Describe the process, strategies, or resources the team intends to use to resolve disagreements related to authorship or other collaboration practices:

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**Other Expectations**

Describe other authorship/collaboration practices or norms that the team plans to adhere to during the collaboration:

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**Acknowledgement of Authorship and Collaboration Plan\*\***

The following individuals have reviewed and discussed the Plan:

|  |  |  |  |
| --- | --- | --- | --- |
| Team Member Name | Signature/Initials | Contact Information | Date |
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**Version History**

|  |  |
| --- | --- |
| Date | Summary of updates or changes to the Plan |
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This template was created by the Responsible Conduct of Research (RCR) Program within the Office of Graduate Education. For more information, refer to: <https://rcr.gatech.edu>

**Resources**

**Authorship and Publication**

* Committee on Publication Ethics: <https://publicationethics.org/>
* Council of Science Editors: Authorship Task Force: <http://www.councilscienceeditors.org/resource-library/editorial-policies/cse-policies/retreat-and-task-force-papers/authorship-task-force/>
* GT Intellectual Property Policy: <https://policylibrary.gatech.edu/faculty-handbook/5.4-intellectual-property-policy>
* GT Library: Copyright & Fair Use: <https://library.gatech.edu/copyright>
* GT RCR Website – Authorship: <https://rcr.gatech.edu/authorship/>
* Open Access Policy at Georgia Tech: <https://library.gatech.edu/open-access>

**Collaboration and Mentoring**

* GT Expectations of Advisors and Advisees: <https://catalog.gatech.edu/academics/graduate/expectations/>
* GT Graduate Assistantship Schedule and Flexibility Policy: <https://policylibrary.gatech.edu/academic-affairs/graduate-assistantship-schedule-and-flexibility-policy>
* GT Graduate Student Enrollment and Employment: <https://policylibrary.gatech.edu/academic-affairs/graduate-student-enrollment-and-employment>
* GT Institute Diversity, Equity, and Inclusion: <https://diversity.gatech.edu/>
* GT Mutual Expectations of Research Advisors and Advisees:
<https://grad.gatech.edu/sites/default/files/documents/mutual_expectations_document_feb_15_2016.pdf>
* GT Postdoctoral Services – Mentoring: <https://postdocs.gatech.edu/faculty-staff-resources/mentoring>
* GT RCR Website – Responsibilities of Mentors and Trainees: <https://rcr.gatech.edu/mentoring>
* National Academies Mentoring Tools: <https://www.nap.edu/resource/25568/interactive/tools-and-resources.html#section2>
* ORI’s 5 Qualities of Good Research Mentors: <https://ori.hhs.gov/sites/default/files/2018-09/5%20Qualities%20of%20Good%20Research%20Mentors_508_Rasterized.pdf>

**Intellectual Property**

* GT Determination of Rights in Intellectual Property: <https://policylibrary.gatech.edu/faculty-handbook/5.4.5-determination-rights-intellectual-property>
* US Patent and Trademark Office Inventorship: <https://mpep.uspto.gov/RDMS/MPEP/current#/current/ch2100_d2c183_22374_28b.html>
* US Patent and Trademark Office Joint Inventorship: <https://mpep.uspto.gov/RDMS/MPEP/current#/current/ch2100_d2c1f8_278a7_1e6.html>