

# POLICY DEVELOPMENT PLAN (PDP)

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Name of new policy: **Authorship**

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DATE: March 2, 2018

TO: Sarah Nusser, Vice President for Research  
Michael Norton, University Counsel  
Jonathan Wickert, Senior Vice President and Provost  
Wendy Wintersteen, President

Please review the PDP on the following pages. It explains the “what, why, when and who” of this new policy, as well as the plans for getting feedback and implementing the policy.

*Note that this is merely a plan, intended to provide you early notice of this policy and awareness of the efforts made to develop a policy that is well-vetted and practical. You may contact me if you have questions.*

**After reviewing the PDP, if you approve of the policy team moving ahead with this plan as described, please enter your name in the space indicated below and click the “sign” button to save.** The date of signing will appear automatically. The form will then route to the next signer and finally back to me.

Thank you.

Sheryl Rippe, Policy Administrator

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Sarah Nusser (Mar 5, 2018)

  
Michael Norton (Mar 6, 2018)

  
Jonathan Wickert (Mar 6, 2018)

  
Wendy Wintersteen (Mar 11, 2018)

# ISU Policy Library - Policy Development Plan (PDP)

## GENERAL INFORMATION

Name of new policy or revised policy: Authorship Policy

Policy to be replaced, if applicable: \_\_\_\_\_

## PDP PROCESS

The PDP is filled out by the facilitator of the Policy Development Team (see below). *The PDP is a draft until:*

Reviewed by Policy Library Area Coordinator : Brenda Behling

Reviewed by Policy Administrator: Sheryl Rippke

Reviewed by Policy Library Advisory Committee (PLAC)

\_\_\_\_\_ Approved by the university officials indicated below (*the Policy Administrator routes the PDP for e-signatures*)

## Policy Development Team (persons closely involved in drafting the policy or revision)

Team Members (Names)	Area Represented
Facilitator: Guru Rao	VPR

## APPROVALS

Approvals will be sought from the following university officials:

Check appropriate boxes ↘	PDP Approver	Final Policy Approver
Unit director/head of...		
Vice President for Research	✓	✓
University Counsel	✓	✓
Chief Financial Officer		
Senior Vice President for University Services		
Senior Vice President for Student Affairs		
Senior Vice President and Provost	✓	✓
President	✓	✓
Board of Regents, State of Iowa	N/A	
Other:		

## POLICY DEVELOPMENT

1. Description: Describe the policy purpose and concept, what prompted this proposed policy (e.g., legislation, perceived need).

**A key expectation of faculty, staff, and students in a research university is the generation of knowledge, and dissemination of knowledge, as evidenced by publications and other scholarly products and creative work including generation of intellectual property, regardless of the medium or format. Criteria for authorship are often not discussed, or poorly defined, leading to misunderstandings, disputes, unprofessional behavior and potential research misconduct. Recognizing that authorship issues can often be complicated, and conventions can vary between disciplines, Iowa State University encourages its faculty, staff and students to proactively discuss authorship in their creative pursuits to identify and navigate potential conflicts that may prevent wide and open dissemination.**

2. Scope: Indicate the project's scope/parameters (i.e., what the project will and will NOT include).

NA

3. Related policies, regulations, laws: Indicate related policies, regulations, laws, procedures and guidance that must be considered as this policy is revised / developed to assure compliance and consistency.

NA

4. Faculty Handbook: Will this policy development impact the Faculty Handbook in any way? Yes  No

If yes, explain impact and plans for resolution:

**Consult Faculty Senate Governance Council regarding Faculty Handbook sections 7.2.2.3, 7.2.2.5.12, and 8.3.6.1 through 6. Assure that new policy and FHB do not conflict.**

**Also consult Graduate Council regarding chapter 9 of the Graduate Handbook.**

5. Stakeholders: Indicate constituent groups, affected units, and other stakeholders to be consulted during the development process.

<input type="checkbox"/> <b>Student Government</b>	<input checked="" type="checkbox"/> <b>President's Cabinet</b>
<input checked="" type="checkbox"/> Graduate & Professional Student Senate	<input type="checkbox"/> University Services Directors Group
<input type="checkbox"/> Student Affairs Cabinet	<input type="checkbox"/> Bargaining units
<input type="checkbox"/> Dean of Students	<input type="checkbox"/> Supervisory/Confidential Council
<input type="checkbox"/> Admissions	<input checked="" type="checkbox"/> <b>P&amp;S Council's Policies and Procedures Committee</b>
<input type="checkbox"/> Residence (Department of)	<input type="checkbox"/> University Human Resources
<input type="checkbox"/> <b>Faculty Senate Executive Board</b>	<input type="checkbox"/> Equal Opportunity (Office of)
<input checked="" type="checkbox"/> <b>Faculty Senate Council/Committee</b>	<input type="checkbox"/> Department of Public Safety
<input checked="" type="checkbox"/> General Faculty	<input type="checkbox"/> Environmental Health & Safety
<input checked="" type="checkbox"/> Provost's Council	<input type="checkbox"/> Risk Management
<input checked="" type="checkbox"/> Council of Deans	<input type="checkbox"/> Internal Audit
<input checked="" type="checkbox"/> Department Chairs' Cabinet	<input checked="" type="checkbox"/> University Counsel
<input type="checkbox"/> Extension & Outreach	<input type="checkbox"/> University Relations
<input checked="" type="checkbox"/> Research (VPR)	<input checked="" type="checkbox"/> Ombuds Office
<input checked="" type="checkbox"/> Responsible Research (Office for)	<input type="checkbox"/> Athletics
<input type="checkbox"/> Ames Lab	<input type="checkbox"/> Other (specify):
<input type="checkbox"/> Centers & Institutes (specify):	<input type="checkbox"/> Other (specify):

6. Methods: Indicate the methods to be used to gather stakeholder input and/or university-wide comments.

- Personal contacts with individuals, small groups
- Focus groups
- Other (specify): \_\_\_\_\_
- Public announcement and request for comment
- Public forums
- Other (specify): \_\_\_\_\_

7. Documents or "other" to be produced during policy development: Indicate the applicable items that will be produced.

**NOTE:** The procedures/guidance must be vetted along with the policy so that stakeholders will see how the policy and procedures, together, will be applied. Systems, forms, websites, etc., must be ready for use when the policy is adopted.

- Policy
- Procedures, Supplemental Guidance
- Electronic application or system:
- Forms, Templates
- Website
- Other (specify): \_\_\_\_\_

**POLICY ADOPTION AND IMPLEMENTATION**

8. Implementation: Indicate what will be needed to effectively implement the policy (describe in #10 below)

- Finalize & publish procedures, guidance
- Develop and offer training
- Establish phase-in period
- Other (specify): \_\_\_\_\_
- Other (specify): \_\_\_\_\_
- Other (specify): \_\_\_\_\_

9. Projected time frame: Indicate *estimated or targeted* dates for key steps in the policy development

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|--------------------------|--|
| <u>February 27, 2018</u> | <b>Concept:</b> Discuss initial concept with the Policy Library Advisory Committee (PLAC)          |
| _____                    | <b>President's Cabinet:</b> University Counsel bring matter to President's Cabinet, if applicable  |
| <u>February 27, 2018</u> | <b>PDP Draft:</b> Discuss completed PDP with the PLAC before PDP authorization                     |
| <u>February 27, 2018</u> | <b>Preliminary Draft Policy:</b> Discuss policy draft with PLAC before public vetting or approvals |
| <u>March/April 2018</u>  | <b>Public Comment Period:</b> Beginning date (if applicable)                                       |
| <u>May 2018</u>          | <b>Final University Approval:</b> Final approval form signed by VPs / President                    |
| _____                    | <b>Regents, State of Iowa:</b> Board Approval, if applicable                                       |
| <u>June 2018</u>         | <b>Effective:</b> Policy effective date  |

10. Additional information: Explain answers to #8. Provide additional information about this policy or policy development, if applicable.