

**UNIVERSITY OF BRITISH COLUMBIA – OKANAGAN**

***GRADUATE STUDIES IN PSYCHOLOGY***

***HANDBOOK OF POLICIES & PROCEDURES***

**August, 2011**

## Table of Contents

<b>Read This First .....</b>	<b>4</b>
<b>Our Graduate Programs .....</b>	<b>5</b>
<b>Psychology Graduate Studies Committee (PGSC) .....</b>	<b>5</b>
<b>M.A. Program .....</b>	<b>6</b>
<b>Application and Admission .....</b>	<b>6</b>
<b>Program Registration &amp; Duration.....</b>	<b>8</b>
<b>M.A. Committee.....</b>	<b>9</b>
<b>Program Requirements .....</b>	<b>9</b>
<b>M.A. Thesis .....</b>	<b>10</b>
<b>M.A. Thesis Examination .....</b>	<b>11</b>
<b>Evaluation for Admission into the Ph.D. Program.....</b>	<b>11</b>
<b>Ph.D. Program.....</b>	<b>12</b>
<b>Admission Requirements.....</b>	<b>12</b>
<b>Program Registration &amp; Duration.....</b>	<b>14</b>
<b>Ph.D. Committee.....</b>	<b>15</b>
<b>Program Requirements .....</b>	<b>15</b>
<b>Second Year Paper.....</b>	<b>16</b>
<b>Comprehensives.....</b>	<b>17</b>
<b>Admission to Candidacy .....</b>	<b>18</b>
<b>Ph.D. Dissertation Proposal .....</b>	<b>18</b>
<b>Ph.D. Dissertation Examination .....</b>	<b>19</b>
<b>MISCELLANEOUS IMPORTANT ISSUES .....</b>	<b>19</b>
<b>Annual Progress Review .....</b>	<b>19</b>
<b>Credit for Courses Taken at Other Universities .....</b>	<b>20</b>
<b>Minimum Course Grades.....</b>	<b>20</b>
<b>Supervisors.....</b>	<b>21</b>
<b>Timeline for Faculty Feedback on Student Work .....</b>	<b>21</b>
<b>Awards and Scholarships.....</b>	<b>22</b>

<b>Teaching Assistantships .....</b>	<b>22</b>
<b>Format For Theses &amp; Dissertations .....</b>	<b>22</b>
<b>Authorship Credit .....</b>	<b>23</b>

### **Read This First**

This Handbook provides general information concerning the steps that must be taken to fulfill the program requirements for graduate studies in psychology at UBCO. It was designed as a guide for both students and their faculty supervisors. The regulations of the College of Graduate Studies are the primary ones that must be followed. They are created, interpreted, and enforced by the College. The Psychology Department requirements that appear in this Handbook merely supplement those of the College of Graduate Studies.

The policies and procedures in this Handbook are subject to annual revision. Students must comply with those procedures that are in effect when they first register in a program.

The Psychology Department at UBCO is strongly committed to helping all students successfully complete their programs of graduate studies. We also hope that students in our Master of Arts program will continue on and complete their Ph.D. at UBCO. Keep this in mind when reading the policies and procedures in this document.

## **Our Graduate Programs**

The Master of Arts (M.A.) and Doctor of Philosophy (Ph.D.) in psychology degrees are awarded to students who acquire detailed knowledge of the current research findings in their area of specialization, knowledge of the concepts and issues in other selected areas of psychology, and who gain experience conducting original, high quality research.

Students can apply to work with faculty members with research programs in the following areas:

- \* Abnormal Psychology
- \* Cognitive Psychology
- \* Creativity
- \* Cultural Evolution
- \* Forensic Psychology
- \* Happiness & Well-Being
- \* Health Psychology
- \* Personality Psychology
- \* Social Psychology

The psychology M.A. and Ph.D. programs involve some required coursework. However, there is presently more emphasis on individual directed studies and on collaborative research projects than there is on traditional courses.

We presently do not offer a clinical or counseling program that prepares students for clinical practice, although a clinical graduate program is in development.

### **Psychology Graduate Studies Committee (PGSC)**

The Psychology Graduate Studies Committee (PGSC) oversees all matters pertaining to graduate studies in psychology, including those involving students and their supervisory committees, except for issues that are governed by the College of Graduate Studies. The PGSC consists of at least three psychology faculty members and is chaired by the Graduate Coordinator, who is the Department's contact person with the College of Graduate Studies. All major

decisions of the PGSC are subject to ratification by the Psychology Department as a whole.

## **M.A. Program**

### **Application and Admission**

The program is governed by the regulations of the UBCO College of Graduate Studies, including its standards for admission of students.

Students are encouraged to contact potential faculty supervisors and discuss a possible program of study prior to formally applying to the program. The PGSC considers the suitability of supervisor-student matches when deciding whether to admit an applicant.

Entering M.A. students will normally have an honours degree (or an undergraduate degree and equivalent research experience) in psychology or a related area. This must include course work in statistics and research methodology. M.A. applicants must hold the academic equivalent of a four-year baccalaureate degree with

- \* a minimum overall B+ average (76% at UBC) in third- and fourth-year courses;  
or
- \* academic standing with at least 12 credits of third- or fourth-year courses and a minimum A average (80% at UBC) in psychology; or
- \* applicants who have a four-year baccalaureate degree, or its academic equivalent, which does not meet the requirements stated above, but who have had significant formal training and relevant professional experience to offset such deficiencies, may be granted admission on the recommendation of the PGSC and approval of the Dean of the College of Graduate Studies.

A complete application to the College of Graduate Studies consists of the following:

- \* a General Application to the College of Graduate Studies, submitted online or in paper form;
- \* a Graduate Studies in Psychology Supplementary Application submitted online or in paper form;
- \* an application fee;
- \* three confidential reference reports;
- \* one official set of all post-secondary academic records in original language and certified translation (if originals cannot be attained by applicant, then attested, certified copies of originals are acceptable). To be considered official, academic records must be received in official university envelopes, sealed, and endorsed by the issuing institution;
- \* evidence of adequate English proficiency where applicable (TOEFL, IELTS, or MELAB are all acceptable); and
- \* Graduate Record Exam (GRE) scores. The general GRE scores are required and the psychology scores are recommended.
- \* A letter of intent describing research interests and plans.

The PGSC begins reviewing complete applications on February 1 of each year. To receive first-round consideration, all application materials must be submitted by January 31. Applications received after January 31 may also be considered.

Admission to the master's program will be in one of the following categories:

1. Unconditional admission. Granted when the applicant meets all admission requirements including the agreement of a Department of Psychology faculty member to supervise the student, all final official documentation has been received, an admission recommendation has been made by the PGSC to the College of Graduate Studies, and a formal letter of admission has been provided by the College of Graduate Studies.

2. Conditional admission. Contains condition(s) that must be met before an offer can be considered final. Such conditions may include final documentation showing degree conferred, or submission of academic records from previous institutions. The letter of admission stipulates deadline dates as to when the conditions must be met. Failure to comply by this date with a condition will normally result in the student being withdrawn from the program.

### **Program Registration & Duration**

Most students begin their program of study in September. All M.A. degree students admitted to the College of Graduate Studies must register when they begin their studies. Students must remain continuously registered until the degree is completed, except for periods of time during which the student is on an approved leave of absence. Students must maintain continuous registration throughout all years until graduation by keeping up with fee payments. Failure to register for two consecutive terms may result in the student being withdrawn from the program.

The master's program should be completed in two academic years. Delays beyond two years can sharply decrease a student's chances of admission to the Ph.D. program. Support funds are less likely to be available from the teaching assistant budget and from the supervisor's research assistant budget beyond the second year to M.A. students. The Department of Psychology reserves the right to specify deadlines, requirements, and limitations for particular students.

If a degree is not awarded within five years from initial registration, the student's eligibility for the degree will usually be terminated and the student will be withdrawn from the program. Under exceptional circumstances, extensions may be granted by the Dean of the College of Graduate Studies.

Students who, for health or personal reasons, including childbirth and having primary responsibility for the care of a child, must interrupt their studies should apply for a leave in writing to the Dean of the College of Graduate Studies. The period of leave is not counted toward time to completion.

### **M.A. Committee**

Incoming students are encouraged to form an M.A. Committee as soon as possible after entering the program. By the end of the first term after registration in the program, students must report the membership of their M.A. Committee and their program of studies, in writing or by email, to the PGSC. The M.A. Committee consists of at least three UBCO faculty members or UBCO Psychology adjuncts. One member is the supervisor, and there must be at least one, non adjunct, full-time UBCO faculty member on the committee. At least two of the committee members must be in the Psychology Department. In determining the number of faculty members on M.A. and Ph.D. supervisory committees when a student has co-supervisors, the co-supervisors shall count as one committee member. With the approval of the supervisor and PGSC, the student can make changes to the committee after it has been formed.

### **Program Requirements**

The minimum requirements for the M.A. are 30 credits, including the following:

- \* a 12-credit thesis (PSYO 599);
- \* six credits of graduate-level statistics and methodology, normally taken in the first year;
- \* three credits for Contemporary Theories of Psychology; and
- \* nine other credits selected by the student in consultation with, and approval from, the faculty supervisor. No more than six credits can be at the 300/400 level, and none may be at the 100/200 level.

Incoming graduate students who have not previously completed the equivalent of PSYO 507 (Advanced Statistics and Research Methods) and who are judged to have insufficient preparation to take PSYO 507 will be required to take undergraduate statistics courses instead of PSYO 507 in their first year and to complete PSYO 507 in their second year.

Some students may also be required to complete additional courses or other work because of deficiencies in their preparatory background. These requirements will be determined by the PGSC before admission into the program or during the first term of registration in the program.

### **M.A. Thesis**

Completion of a thesis is an integral part of the Master's program. Between September and April of the first year, the student should meet with his or her M.A. Committee to outline a plan for the Master's thesis. The student's annual progress report must indicate that this meeting has taken place and that a thesis plan has been developed. Before beginning formal thesis work, the student must submit a formal thesis proposal to the supervisory committee and obtain approval of the proposed thesis. It is strongly recommended that the thesis proposal be submitted and approved by the M.A. Committee within one year of registration in the program.

The ideal thesis is one that leads to (or is) a paper publishable in a reputable journal. Our goal in establishing requirements about the thesis is to facilitate rather than hinder students in attaining this goal. The M.A. Committee is thus given some leeway to tailor the thesis research. The general requirement is a thesis written by the student on research carried out by the student while in the M.A. program at UBCO. The literature review, design, execution, data analysis, discussion, and written presentation should be of publishable quality. (Notice that the nature of the results is omitted from this list.) The thesis may take one of two

formats, with the choice left to the student, in consultation with the supervisor. The choices are as follows: (a) a traditional thesis-style document, and (b) a thesis in the format of a journal article (should the manuscript have already been accepted for publication by a reputable journal, and the student is sole or first author, the M.A. Committee may accept it and request final approval from the PGSC).

### **M.A. Thesis Examination**

The UBCO College of Graduate Studies web site provides the procedures for preparing theses, preconditions for a thesis defense, the scheduling of thesis examinations, examination committee composition, examination procedures, the responsibilities of examiners, the procedures that examiners must follow when judging theses, and submission of the final thesis. The current URL for this information is

<http://web.ubc.ca/okanagan/gradstudies/students/thesisandexam.html>

Notice of a defense must be posted at least 10 days in advance and, at that time, a copy should be left with the Unit Secretary so that it is available to those who are interested in reading the thesis beforehand. All graduate students and faculty members are invited to attend each M.A. thesis defense.

### **Evaluation for Admission into the Ph.D. Program**

A new, separate application for admission to the Ph.D. program must be made to College of Graduate Studies. Admission does not occur automatically when the M.A. has been completed. The transition between the M.A. and the Ph.D. programs should be carefully considered by the student in consultation with the supervisor. Admission requires that the student has done more than simply meet the minimal requirements for an M.A. degree. Admission requires (a) that the

student has made significant progress toward becoming an independent researcher, (b) a willing supervisor, and (c) financial support.

### **Direct Transfer into the Ph.D. Program without an M.A.**

Masters students may request a direct transfer into the Ph.D. program. In these cases, a second year paper is submitted instead of an M.A. thesis, and an M.A. degree is not awarded. Direct transfers from the M.A. into the Ph.D. degree program are permitted at the discretion of the PGSC under regulations set by the College of Graduate Studies. Direct transfers can occur after 12 but after no more than 18 months in the M.A. program.

## **Ph.D. Program**

### **Admission Requirements**

The Ph.D. degree program is governed by the regulations of UBC Okanagan's College of Graduate Studies, including its standards for admission of students.

Students are encouraged to contact potential faculty supervisors and to discuss a possible program of study prior to formally applying to the program. The PGSC considers the suitability of supervisor-student matches when deciding whether to admit an applicant.

Ph.D. applicants must have completed one of the following requirements prior to admission:

- \* a master's degree (or equivalent) in psychology or a related area from an approved institution, with clear evidence of research ability;
- \* a bachelor's degree, with one year of study in a master's program with 18 credits of first class average, of which, normally, 12 credits must be at the 500

level or above, and clear evidence of research ability. (See the above section on Direct Transfer into the Ph.D. Program without an M.A.)

Program credits may be given for graduate courses taken at other universities. See the section below on "Credit for Courses Taken at Other Universities".

A complete application to the College of Graduate Studies consists of the following:

- \* a Graduate Studies application, submitted online or in paper form;
- \* a Graduate Studies in Psychology Supplementary Application submitted online or in paper form;
- \* an application fee;
- \* three confidential reference reports;
- \* one official set of all post-secondary academic records in original language and certified translation (if originals cannot be attained by applicant, then attested, certified copies of originals are acceptable). To be considered official, academic records must be received in official university envelopes, sealed, and endorsed by the issuing institution;
- \* evidence of adequate English proficiency where applicable (TOEFL, IELTS, or MELAB are all acceptable); and
- \* Graduate Record Exam(GRE) scores. The general GRE scores are required and the subject specialty scores are recommended.

The PGSC begins reviewing complete applications on February 1 of each year. To receive first-round consideration, all application materials must be submitted by January 31. Applications received after January 31 may also be considered.

Admission to the Ph.D. program will be in one of the following categories:

1. Unconditional admission. Granted when the applicant meets all admission requirements including the agreement of a Department of Psychology faculty member to supervise the student, all final official documentation has been

received, and approval has been granted by the PGSC and the College of Graduate Studies.

2. Conditional admission. Contains condition(s) that must be met before an offer can be considered final. Such conditions may include final documentation showing degree conferred, or submission of academic records from previous institutions. The letter of admission stipulates deadline dates as to when the conditions must be met. Failure to comply with a condition will normally result in the student being withdrawn from the program.

### **Program Registration & Duration**

Ph.D. students admitted to a doctoral program will normally be expected to spend the equivalent of at least two consecutive years of full-time study at UBCO.

Students must maintain continuous registration throughout all years until graduation by keeping up with tuition fee payments, including those periods when students are working on their thesis and not taking courses. Students entering directly from a bachelor's degree must, during the first year of study, complete 18 credits with a first class average, of which at least 12 credits must be at the graduate level. Failure to register for two consecutive terms may result in the student being withdrawn from the program.

The Ph.D. program should be completed in three academic years. If the degree is not awarded within a period of six years from initial registration, the student's eligibility for the degree will be terminated and the student will be withdrawn from the program. Under exceptional circumstances, extensions may be granted by the Dean of the College of Graduate Studies.

Students who, for health or personal reasons, including childbirth and having primary responsibility for the care of a child, must interrupt their studies should apply for a leave in writing through the Dean of the College. The period of leave is not counted toward time to completion.

## **Ph.D. Committee**

Incoming students are encouraged to form a Ph.D. Committee as soon as possible after registering in the program. The Ph.D. committee guides students through their dissertations and helps devise and approve the students' program of study throughout their Ph.D. program. By the end of the first term after registration in the program, the student must report the membership of his or her Ph.D. Committee and their program of studies, in writing or by email, to the PGSC. The composition of the Ph.D. Committee is determined in consultations with the supervisor. The Ph.D. Committee consists of at least three faculty members. One member is the supervisor, who must be a regular faculty member of the Psychology Department. At least two of the members must be in the Psychology Department. In determining the number of faculty members on M.A. and Ph.D. supervisory committees when a student has co-supervisors, the co-supervisors shall count as one committee member. With the approval of the Dean of the College of Graduate Studies, the committee may also include qualified persons who are not faculty members. When helpful, the student may add additional committee members. With the approval of the supervisor and PGSC, the student can make changes to the committee after it has been formed.

## **Program Requirements**

The minimum requirements for the Ph.D. are as follows:

- \* 18 credits of coursework selected by the student with the approval of his or her Ph.D. Committee. Non-thesis coursework that was completed for an M.A. degree may be counted and credited for the Ph.D. coursework requirement;
- \* if a student has not already completed an M.A. thesis in Psychology or a related area, then a second-year empirical paper must be submitted (see the section below);

- \* students must complete, or have completed, six credits of graduate-level statistics and methodology during the course of their graduate studies;
- \* successful completion of comprehensives; and
- \* successful defense of the doctoral dissertation (PSYO 699).

Some students may also be required to complete additional courses or other work because of deficiencies in their preparatory background. These requirements will be determined by the PGSC before admission into the program or during the first term of registration in the program.

Upon registration, the doctoral student will consult with his or her supervisor(s) to develop a program of study, subject to the approval of the PGSC. The program of study may consist of seminars, directed readings and research, consultations, and such formal courses as may be deemed essential for the fulfillment of the requirements for the degree. Changes in the program of study may be required during the period of study. These changes must be reviewed and approved by the candidate's supervisory Ph.D. committee and by the PGSC.

### **Second Year Paper**

The second year paper is completed by students who transfer directly into the Ph.D. program without an M.A. degree. The second year paper should represent an original empirical contribution to the student's field of study which is intended to be publishable. In addition to the paper, students will complete a public presentation of their research at a department-approved forum (e.g., a research conference or a presentation open to the University community). In cases where students do not continue in the program, either by their own choice and/or by the direction of the Department, this paper may serve as a Masters thesis if judged of sufficient quality. Students will normally complete this paper at the end of their second year.

## Comprehensives

The comprehensives are intended to provide an assessment of the mastery of a breadth of research areas related to a student's program of study. The comprehensives are normally four written comprehensive papers that should be completed by the end of the second year of the program. Each comprehensive is designed in consultation with the supervisor and Ph.D. committee. The possible formats for comprehensives include:

- \* a significant literature review in the form of either a novel organizing framework (as in a *Psychological Bulletin* article) or a state-of-the art summary of a topic (as in *Annual Review of Psychology*);
- \* a focused research project undertaken in collaboration with a Psychology faculty member, a psychology adjunct, or other researcher who has been approved by the PGSC;
- \* a grant proposal prepared in accordance with the standards of a major granting agency (only one grant proposal comprehensive per student is permitted);
- \* the development of a senior-level undergraduate course in an approved area (only one course development comprehensive per student is permitted).

Each of the above possible comprehensive formats count as one comprehensive. The Ph.D. committee evaluates each submitted comprehensive and then advises the student and the PGSC that

- the student has passed;
- the student must rewrite one or more comprehensives (normally students are allowed only one repetition of each comprehensive); or
- a recommendation be made to the Dean of Graduate Studies that the student be withdrawn from the doctoral program.

## **Admission to Candidacy**

Admission to candidacy occurs after all required coursework and comprehensives have been completed and after the doctoral dissertation proposal has been approved. Admission to candidacy should normally occur after a two-year residency period. A student who is not admitted to candidacy within three years from the date of initial registration will be required to withdraw from the program. It is possible to apply for an extension in unusual circumstances.

## **Ph.D. Dissertation Proposal**

The supervisor must convene a meeting of the Ph.D. committee with the student at least once every year to discuss the dissertation and to ensure that satisfactory progress is being made. A satisfactory dissertation proposal is normally submitted to the supervisory committee before the start of the third Ph.D. year and must be presented orally by the candidate to the Department. Proposal defenses should be held between 10 am - 4 pm, all supervisory committee members must be present, and an advertisement should be posted and be emailed to all psychology faculty and students inviting them to attend. Notice of the proposal defense must be posted at least 10 days in advance. After the oral presentation, the student's Ph.D. Committee and the other faculty members present will discuss the acceptability of the proposal. The Ph.D. Committee will then make one of the following recommendations:

1. formally approve the proposal. Such approval implies that the Committee considers the procedures outlined in the proposal as appropriate for the adequate investigation of the stated problem;
2. approve the proposal contingent on the outcome of preliminary investigation(s);
3. withhold approval of the proposal until certain inadequacies (for example, changes in experimental design) are overcome, or
4. not give its approval because the problem is an inappropriate one.

### **Ph.D. Dissertation Examination**

The UBCO College of Graduate Studies web site provides the procedures for preparing dissertations, preconditions for a dissertations defense, the scheduling of dissertations examinations, examination committee composition, external examiners, examination procedures, the responsibilities of examiners, the procedures that examiners must follow when judging dissertations, and submission of the final dissertations. The current URL for this information is

<http://web.ubc.ca/okanagan/gradstudies/students/thesisandexam.html>

Notice of a defense must be posted at least 10 days in advance and, at that time, a copy should be left with the Unit Secretary so that it is available to those who are interested in reading the dissertations beforehand. All graduate students and faculty members are invited to attend each dissertation defense.

## **MISCELLANEOUS IMPORTANT ISSUES**

### **Annual Progress Review**

The progress of each student is evaluated each year by the PGSC in consultation with the M.A. and Ph.D. Committees. The evaluation is based on the student's progress outlined in the Annual Progress Report. It is thus important that students and their supervisors accurately complete the forms and submit them on time. Adequate performance in courses in the absence of demonstrated research and/or professional ability is not sufficient to guarantee continuation in the program.

The primary focus of graduate students is research and contributions to the scholarly literature. To this end, each student is required to submit his or her curriculum vitae (C.V.) with his or her Annual Progress Report. The C.V. will list educational history, degrees obtained, publications, conference presentations, and other evidence of professional academic activity. The C.V. will be examined when the student's progress is evaluated each year and when considered for prizes and teaching assistantships.

In May of each year, each student will receive a letter from the PGSC summarizing the results of the assessment with one of the following recommendations:

1. The student shall be advised that progress is satisfactory.
2. The student shall be advised that progress is unsatisfactory with specific suggestions for improvement noted.
3. The student shall be withdrawn from the program.

### **Credit for Courses Taken at Other Universities**

When reviewing applications to the M.A. and Ph.D. programs, the PGSC may consider requests from applicants to receive UBCO program credits for graduate courses taken at other universities. Such requests must be accompanied by detailed outlines of the courses taken, which must be submitted with the application package along with a letter explaining the request.

### **Minimum Course Grades**

A minimum grade of 68% must be obtained in all program courses. Marks less than 68% are unacceptable and the Department may require a student to repeat the course or may view the mark as grounds for termination from the program.

On the recommendation of the PGSC and the approval of the Dean of the College of Graduate Studies, the student may repeat a course for higher standing or take an alternate course. If the PGSC does not make such a recommendation, or if the recommendation is not approved by the Dean of the College of Graduate Studies, the student will be required to withdraw from the program. A student who obtains a grade of less than 68% in a number of courses will normally be required to withdraw from the program. When repeating a failed required course, a minimum mark of 74% must be obtained. Higher minimum grades may be required. The student will be informed of unsatisfactory academic progress in writing before any action regarding withdrawal is taken.

If a course is repeated, both marks will appear on the transcript. The higher mark will be used to determine promotion in a program and in any decision to admit or withdraw a student from a program. For all other purposes, averages will be calculated using both marks.

### **Supervisors**

The key person in the student's education is the supervisor. In our department, the supervisor is a mentor who provides much of the training through close collaboration. This training includes guiding the student in setting up a research program and in collecting, maintaining, analyzing, and interpreting data. The supervisor provides the student with most of the specific information needed to become an independent researcher. The primary supervisor must be a regular faculty member of the Psychology Department.

### **Timeline for Faculty Feedback on Student Work**

Supervisors and faculty committee members should provide their feedback on student theses and all other student work in a timely fashion. Specifically, faculty feedback should be provided no later than three weeks after student submission

of their work. Holiday time should be excluded from these time counts.

### **Awards and Scholarships**

All graduate students are expected to submit an application for external funding from a major granting agency, such as SSHRC, NSERC, and CIHR. The deadlines for these applications are normally in September, thus requiring advance preparation and consultation. Information on internal and external awards and scholarships is available from

<http://okanagan.students.ubc.ca/calendar/index.cfm?tree=18,285,1001,0>

### **Teaching Assistantships**

The BCGEU contract stipulates that students must apply for teaching assistantships. Attempts are made to fund all students. However, the limited pool of teaching assistantships could result in some students not receiving a teaching assistantship. Teaching assistantships are jobs rather than awards.

### **Format For Theses & Dissertations**

UBC has strict policies for the formatting of theses and dissertations, which are available from

<http://www.grad.ubc.ca/students/thesis/index.asp?menu=000,000,000,000>

In addition to the UBC format policies, theses and dissertations must follow the recommendations of the most recent edition of the *APA Publication Manual*, except for allowances for the fact that journal editors and thesis supervisory committees are subject to different pressures, rules, and regulations. Some of the rules in the manual are for the convenience of printers and are irrelevant to theses. Authors of theses and dissertations should read the appendix of the *APA*

*Manual.*

### **Authorship Credit**

(Portions of this section on Authorship Credit were adapted from documents provided by the University of Victoria.)

Publishing is critical to the advancement of science, and learning to publish is an important component of learning to conduct scientific research. 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. Occasionally, a disagreement develops over the publication of collaborative research. The best policy is to prevent such disagreements from arising. Both advisors and students should make explicit what the expectations and contingencies are with respect to publication – order of authorship being the most frequent source of discord – prior to the collection of data. Students are also expected to write up their research for publication in a timely manner. Conflicts with former (and present) supervisors can be avoided if such matters are negotiated beforehand. Faculty and students should attend to the issues described below when embarking on collaborative research.

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)(5th Edition, 2001):

*Authorship is reserved for people who make a primary contribution to and hold primary responsibility for the data, concepts, and interpretation of results for a published work (Huth, 1987). Authorship encompasses not only those who do the actual writing but also those who have made substantial scientific contributions to a study... To prevent misunderstanding and to preserve professional reputations*

*and relationships, it is best to establish as early as possible in a research project who will be listed as an author, what the order of authorship will be, and who will receive an alternative form of recognition.*

For a more extensive discussion of this text, see 8.05 Ethics of Scientific Publication, pp. 348-355 in the *Publication Manual of the APA* (2001), and especially the section on Publication credit (pp. 350-351). Furthermore, Section 8.12 Publication Credit of the APA Ethics Code 2002 states that:

*a) Psychologists take responsibility and credit, including authorship credit, only for work they have actually performed or to which they have contributed.*

*b) Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as Department Chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are appropriately acknowledged, such as in footnotes or in an introductory statement.*

*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.*

#### Guidelines, Additions and Caveats

##### 1. Timeliness:

a) Regarding APA principle (c) above (thesis/dissertation research): If a student does not produce the first draft of the manuscript within for example, 12 months of defending the thesis or dissertation, unless another arrangement has been negotiated in advance, the supervisor 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) must 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.

The following best practices and recommendations are from the following source:

Fine, M. A., & Kurdek, L. A. (1993). Reflections on determining authorship credit and authorship order on faculty-student collaborations. *American Psychologist, 48*, 1141-1147.

Process Recommendations:

1. Early in the collaborative endeavor 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 participate in the authorship determination process with the supervisor.
2. The supervisor and student should assess the specific abilities of each party, the tasks required to complete the scholarly publication, the extent of supervision required, and appropriate expectations for what each collaborator can reasonably contribute to the project.
3. On the basis of this assessment, the collaborators should discuss and agree on what tasks, contributions, and efforts are required of both parties to warrant joint authorship and to determine the order of authorship.
4. Agreements regarding authorship credit and order may need to be renegotiated for two reasons. First, scholarly projects often take unexpected turns that necessitate changes in initial agreements made in good faith. Second, many manuscripts need to be revised substantially before they are accepted for publication. These revisions may require additional professional contributions beyond those necessary for the completion of the initial draft of the manuscript. Thus, when such revisions are required, the supervisor and student should re-examine their original agreement and determine whether it needs to be modified.

Outcome Recommendations:

1. To be included as an author on a scholarly publication, a student should, in a cumulative sense, make a professional contribution that is creative and intellectual in nature, that is integral to completion of the paper, and that requires an overarching perspective of the project. Examples of professional contributions include developing the research design, writing portions of the manuscript, integrating diverse theoretical perspectives, developing new conceptual models, designing assessments, contributing to data analysis, and interpreting results. Such tasks as collecting data, inputting data, carrying out data analyses specified by the supervisor, and typing are not considered professional contributions and may be acknowledged by footnotes to the manuscript.

Fulfillment of one or two of the professional tasks essential to the completion of a collaborative publication does not necessarily justify authorship. Rather, the supervisor and student – in their discussions early in the collaborative process – must jointly decide what combination of professional activities warrants a given level of authorship credit for both parties. By necessity, there will be some variation in which tasks warrant authorship credit across differing research projects.

2. Authorship decisions should be based on the scholarly importance of the professional contribution and not just the time and effort made. In the opinion of Fine and Kurdek (1993), even if considerable time and effort are spent on a scholarly project, if the aggregate contribution is not judged to be professional by the criteria stated above, authorship should not be granted.
3. Authorship decisions should not be affected by whether students or supervisors were paid for their contributions or by their employment status. It is the nature of the contribution to the article that determines whether authorship credit is warranted and not whether participants received

compensation for the efforts.

4. When confronted with ethical dilemmas, we advise supervisors to consult with colleagues when authorship concerns arise. Furthermore, supervisors should encourage their students to do the same, whether with faculty or with student peers. With the informal input generated from such consultations, it is possible that new light will be shed on the issues involved and that reasonable and fair authorship agreements will result.