



HUMPHRIES LAB

UNIVERSITY OF RHODE ISLAND

Advising Plan: Roles, Responsibilities, and Expectations

last update: February 2019

My goal as a research advisor is to facilitate a relationship of mutual respect and trust that fosters professional confidence and encourages critical thinking and creativity.

Specific commitments of me as a research advisor:

- 1) I will be committed to mentoring you as a future member of the scholarly community.** I will strive to model professional responsibility, demystify graduate school, encourage the effective use of time, oversee professional development, and assist with finding other mentors. We will iteratively construct and complete a mentoring plan together.
- 2) I will be committed to your research project.** I will *help* to plan and direct your project, set reasonable and attainable goals, and establish a timeline for completion of the project. I recognize the possibility of conflicts between the interests of my own larger research program and your particular research goals, and will not let my larger goals interfere with your pursuit of thesis/dissertation research.
- 3) I will be committed to meeting with you on a regular basis.** I will meet with you on a regular (usually every two weeks) basis unless I am on travel. My door is open to unscheduled meetings during the week.
- 4) I will be committed to identifying and providing the resources you will need in order to conduct your thesis/dissertation research.** If there are resources you do not have access to, or I cannot provide, I will search alternative solutions.
- 5) I will assist you with the requirements and deadlines of the graduate program as well as those of URI, including any teaching requirements and human resources guidelines.**
- 6) I will help you select a thesis/dissertation committee.** I will help assure that this committee meets annually (or more frequently if necessary) to review your progress.
- 7) I will lead by example and facilitate your training in complementary skills needed to be a successful researcher.** Complementary skills may include education and outreach, oral and written communication skills, grant writing, lab management, animal and human research policies, the ethical conduct of research, and scientific professionalism. I will encourage you to seek additional opportunities in career development training.
- 8) I will encourage you to attend professional meetings and try to help you secure funding for such activities.** I will commit to funding one professional meeting for you if you are a MS student and two if you are a PhD student during your tenure in the lab.

9) I will openly discuss authorship and intellectual policies regarding peer-reviewed publications. I will acknowledge contributions to projects beyond your own, and I will work with you to publish your work in a timely manner. I will discuss norms on authorship credit for the field and the extent to which I can assist in preparing work for submission to journals and conferences.

10) I will provide career advice and assist in finding a position for you following your graduation. I will provide honest letters of recommendation for your next phase of professional development. I will also be accessible to give advice and feedback on career goals.

11) I will provide an environment that is intellectually stimulating, emotionally supportive, safe, and free of harassment. Throughout your time in graduate school, I will be supportive, equitable, accessible, encouraging, respectful, and receptive to needs that you have as a graduate student that I may not have already anticipated.

I expect my graduate students to be self-directed, highly motivated, and eager to devise a plan that keeps you on it.

Specific commitments of you as a graduate student:

1) Acknowledge that you have the primary responsibility for the successful completion of your degree. You will be committed to your graduate education and will demonstrate this by your efforts in the classroom and in research settings. You will maintain a high level of professionalism, self-motivation, engagement, curiosity, and ethical standards.

2) You will meet regularly with me and provide me with updates on the progress and results of your activities and experiments. You will be expected to *take the lead in these meetings*, send me an agenda 24-hrs in advance, ask any questions or talk about relevant material.

3) You will work with me to develop a thesis/dissertation project. This will include establishing a timeline for each phase of your work. You will strive to meet the established deadlines.

4) You will work with me to select a thesis/dissertation committee. You will commit to meeting with this committee at least annually (or more frequently if necessary). You will be responsive to the advice of and constructive criticism from your committee. You are responsible for keeping committee members abreast of all facets of your project, including deadlines, etc.

5) You will be knowledgeable of the policies and requirements of the Biological and Environmental Sciences (BES) graduate program (or MESM), the Graduate School, and URI. You will commit to meeting these requirements, including teaching responsibilities.

6) You will attend and participate in relevant group meetings and seminars that are part of your educational program.

7) You will comply with all institutional policies, including academic program milestones. You will comply with both the letter and spirit of all institutional research policies (e.g., safe laboratory practices and policies regarding animal-use and human-research) at URI.

8) You will be a good research citizen. You will agree to take part in relevant shared research group responsibilities and will use research resources carefully and frugally. You will be attentive to issues of safety and courtesy, and will be respectful of, tolerant of, and work collegially with all research personnel.

9) You will consult with me and notify any fellow research group members in advance of any planned absences to collective events.

10) You will maintain a detailed, organized, and accurate records of your research, as directed by me. You are aware that your original notes and all tangible research data are the property of the PI of the grant (usually Austin Humphries), URI, and the associated funding agency, but that you are able to take a copy of your research records and data with you after you complete your degree.

11) You will discuss authorship and attendance at professional meetings with me. You will work with me to submit all relevant research results that are ready for publication in a timely manner to internationally recognized peer-reviewed outlets (see attached Authorship & Publishing Code of Conduct). I expect you to take publishing seriously and submit your research for publication within 12 months of your defense.

12) You acknowledge that it is primarily your responsibility to develop your career following the completion of your degree. You will seek guidance from me, thesis/dissertation committee, other mentors, and any other resources available for advice on career plans.

Other general expectations:

Goals: I expect you to develop and share with me a work plan that includes a series of short-term and long-term goals, as well as the timeframe for reaching these goals. I will make sure your work plan meets the program's requirements and are feasible.

Thresholds: You may contact me on my cell phone at any time for emergencies, but academic matters past regular work hours should be addressed via Slack.

Assessments: I will give you an assessment of your general progress every year or as frequently as we deem necessary. You can expect iterative feedback from me in terms of research and program progress. I will generally provide a response to your work within one week of receiving it and if not, you can remind me via Slack. Always plan on a week, however, for timelines.

Drafts: I expect first drafts to have whole sections complete (e.g., Introduction, Discussion), or the entire paper/manuscript complete (including References and Figures/Tables), before they are submitted to me. I also require that these drafts be peer-reviewed by at least two of your lab-mates before sending them to me.

** This part of the document was created and modified from a sample published by the Graduate Research, Education and Training group of the American Association of Medical Colleges*

Code of Conduct: Authorship and Publishing

last update: March 2019

Publishing research results is an important part of the scientific process. The norms for publishing vary among disciplines. In an effort to make it clear for those in the Humphries Lab, the following publishing code of conduct is in place.

Discussion of a manuscript should be done as soon as possible at the onset of a project and negotiated iteratively and as much as needed should roles change or when deliverables are met. Early versions of papers should include authorship to help resolve any future disputes.

Authorship order should be discussed as well, including who will lead (first author) and in what order authors will be listed.

In order to be an author when you are a member of the lab, you must make a significant intellectual contribution to the research. Because the definition of what this means varies widely, we have adopted a two-part process for determining authorship.

PART 1

When considering an individual for authorship, ask if the following statement is true: “I could not have produced this paper without X because they brought to the project a unique and indispensable skill or perspective.” If yes, assign that individual authorship. If no, continue to Part 2.

PART 2

An individual should be a coauthor if they had a significant role in at least three of the five following criteria:

- a) Formulating the initial idea
 - This can be very hard to judge so it is best to be generous with these criteria
- b) Planning/facilitating the research
 - May include figuring out how to collect data, outlining a modeling approach, writing/getting grants to fund the work, providing key equipment, developing and testing the survey instrument, etc.
- c) Collecting the data
 - This could be fieldwork, lab work, literature review/synthesis, etc.
- d) Analyzing the data
 - May include database manipulations, statistical and graphical analysis, or providing new insights that derive from the results, coding a model, or working through challenging math
- e) Writing and publishing the results
 - This could include writing some section(s) of the manuscript, providing significant editorial comments, assisting in the review process, etc.

The above applies to any data you collected while a member of the lab. This means that even after you have moved on to another position (i.e., graduated or otherwise), future publications may still make use of data you collected, but you would still need to meet the above criteria in order to be considered for authorship.

What happens when you leave the lab? If the project involves a student milestone such as a thesis/dissertation defense, the manuscript must be submitted for possible publication no later than 12 months from the date of the successful thesis or dissertation defense (not graduation). If it is a non-thesis degree, this timeline refers to approval of your major paper or graduation, whichever is first. Should the manuscript not be submitted within 12 months’ time, I reserve the right to take primary responsibility for submission of the manuscript and will become first author. Finally, simply submitting a manuscript within 12 months is not sufficient for retaining first authorship. What is required is that progress must continue to be made towards publication (e.g., in the form of manuscript revisions or resubmission to another journal). Inaction or demonstrated lack of commitment on your part during the publication process may also result in loss of first authorship. As part of the authorship criteria above, it is the responsibility of the lead

(first) author to submit the manuscript and lead all co-authors through the review process. If not, as stated above, you may lose first authorship.

As stated in the Advising Plan, your notes and all tangible research data are the property of the PI of the grant (usually in this case Austin Humphries), URI, and/or the associated funding agency. You are, however, free to take a copy of your research records and data (e.g., Excel files) with you after you complete your degree. Should you want to use the data for future publishing purposes, see #6 below.

In situations where manuscripts will likely involve co-authors outside of the lab (outside of this code of conduct agreement), effort should be made to establish an authorship agreement among all potential coauthors ASAP and make clear communication about authorship and expectations.

General publishing code of conduct:

1. Researchers will not add or delete authors from a manuscript submitted for publication without consent of those authors.
2. Researchers will obtain consent to submit a manuscript for publication from all who have been identified as coauthors on that manuscript and will not include as coauthor(s) any individual who has not agreed to the content of the final version of the manuscript.
3. Researchers will not represent research results as new if they have been published or submitted elsewhere, or submit a manuscript for publication while it is under review for possible publication elsewhere.
4. When using ideas or results of others in manuscripts submitted for publication, researchers will give full attribution of sources if they are not a coauthor. If the ideas or results have not been published, they may not be used without permission of the original researcher. Illustrations or tables from other publications or manuscripts may be used only with permission of the copyright owner.
5. Researchers submitting manuscripts for publication will promptly report to all coauthors any errors in research results or interpretations discovered after submission or publication.
6. Researchers wishing to use data collected during their degree program at URI and with the Humphries Lab will contact Austin Humphries and discuss ideas and authorship, using the above criteria as the basis for decisions of authorship.

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By signing, I acknowledge the expectations stated above and understand that failure to meet them may result in dismissal from the lab group and/or degree program.

Student: _____

Date: _____

Advisor: _____

Date: _____