**SUPPLEMENT D.** Authorship, co-authorship and ownership agreement among research collaborators.

**AUTHORSHIP AGREEMENT**

International law in terms of intellectual property rights governs this agreement (see <http://www.wipo.int/treaties/es/>). This is a two-phase document, an initial agreement between the parties (collaborators), which takes place before achieving the literary work and another after it has been created. This agreement may de put into effect for each literary work or set of works derived from research.

**FIRST PHASE:**

An authorship, authorship order and economic rights (ownership) agreement is entered into herein for the work titled: (***Manuscript title or product derived from research***), which is the result of research project: (***Name***).

The following collaborators/researchers, acting on their own behalf and right (hereinafter **Author or owner of rights**) take part in this agreement:

On one part, the undersigned collaborator\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ bearer of citizen identification number \_\_\_\_\_\_\_\_\_\_\_\_\_, issued \_\_\_\_\_\_\_\_\_, residing at (address) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ with e-mail address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

**And the other:**

And on the other, the undersigned collaborator \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ bearer of citizen identification number \_\_\_\_\_\_\_\_\_\_\_\_\_, issued \_\_\_\_\_\_\_\_\_, residing at (address) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ and holder of e-mail address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_acting on his/her own behalf and right (hereinafter **Author or owner of rights**)

And on the other, the undersigned collaborator \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ bearer of citizen identification number \_\_\_\_\_\_\_\_\_\_\_\_\_, issued \_\_\_\_\_\_\_\_\_, residing at (address) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ and holder of e-mail address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_acting on his/her own behalf and right (hereinafter **Author or owner of rights**).

With this agreement, the parties assent to define the author and the owner of the work (legal terms), as the person who has substantially contributed to its creation and has actively participated in the project and the creation process of this publication (work). Moreover, that he/she has complied with the requirements of copyright proposed by Acosta (20071). Ownership of the work will be defined in percentage terms, based on the relative contribution of collaborators to the work according to criteria by Vallejo *et al.* (20122). Any collaborator that has not contributed substantially per Vallejo *et al.* (2012) will be mentioned in the acknowledgments, and will have no legal rights to authorship or ownership.

**First clause:**

To determine authorship, authorship order and degree of participation as well as remuneration through owner rights of the work, the responsibilities of each collaborator during the research phases and activities will be identified and noted (see Vallejo *et al.* 2012). The research phases to be included are:

*1. Planning*

*2. Experimental design*

*3. Results analysis and presentation*

*4. Results interpretation*

*5. Manuscript preparation*

*6. Administrative*

The activities within each phase are:

***1. Planning***

1. Contributed his/her knowledge to topic within the central idea or to a theoretical gap within the research (problem conception, question, objectives, hypotheses) in an original or unedited manner. Intellectual author.
2. Concretized in writing (on paper or electronically) the central idea relevant to the research, issues, problems, objectives, and hypotheses. Material contributor.
3. Wrote the research project (theoretical frame argumentation, theoretical concept selection, methodology, predicted results, timeframe, budget, etc.)
4. Reviewed, compiled, selected and synthesized the pertinent bibliography to argument the project and to justify the importance of resolving the problems. Theoretical review of databases to reach empirical generalizations.

***2. Experimental design***

1. Selected research type and design (theoretical, experimental; study variables, dependent and independent, number of repetitions, sample size), for example from a pre-sampling or theoretical review. Case study.
2. Presented data collection strategy (field or laboratory methods and techniques).
3. Participated in research data collection (whether totally or partially). Variable data can be taken form the field, laboratory, bibliographic review, surveys, other type of sampling soft method sampling recording, etc.
4. Determined the statistical analysis of the variables to reach results.

***3. Results analysis and presentation***

1. Input data into computer for its analysis.
2. Performed statistical analysis (using software), to associate dependent and independent variables. Qualitative research also requires an information analysis component; sensitizing concepts and categorization (micro analysis).
3. Scrutinized and carried out the final presentation of article results, in the form of: text, graphs or figures.

***4. Results interpretation***

1. Interpreted statistical information (test results vs. hypothesis, objective and problem).
2. Integrated the results to reach a conclusion, which fills a void in the existing knowledge (theoretic gap). The conclusion is an emergent property that transcends the results towards the theoretical or applied context; it is the scientific contribution made to the scientific community.
3. Determined and gave direction to the content of the manuscript, according to the impact of the results in the theoretical or practical context of the research (bearing of ideas and concepts that make the manuscript original, or contribution to fill the theoretical-practical void put forward).
4. Wrote and argued original ideas and concepts based on the results and conclusion.

***5. Manuscript preparation***

1. Drafted manuscript summary.
2. Determined arguments and wrote manuscript discussion. Verification process, theory vs. observed. Comparisons and mechanisms that explain the results.
3. Determined arguments and drafted manuscript introduction.
4. Wrote the first versions of the article (including methodology section and literature).
5. Revised the manuscript, re-wrote, focused and provided new paragraphs or ideas for submission into publication (editing, writing, syntax, grammar).
6. Translated the manuscript into a second language.

***6. Administrative***

1. Presented the proposal to funders.
2. Obtained interinstitutional agreements for the collection of data (permissions, consents) or the use of materials, equipments, laboratories or facilities.
3. Secured partial or full funding for the development of the research, to publish or translate the manuscript.
4. Provided as a counterpart: salary, laboratory, equipment, reagents, fungible material, specimens, personnel, technicians, bibliography, etc.
5. Performed managerial (research permits) and administrative (purchases, account rendering, accounting) duties.

Assignment of phases and activities by collaborator:

***After having read and understood the phases and activities, the collaborators will determine the assignment of the duties and commitments of authorship and ownership***:

The main author will commit to executing the following phases and activities: (e.g., ***1-a,d,e; 2-a,b,d; 3-a,d; 4-a,b; 5-e; 6-d***)

The second author commits to executing the following phases and activities: (e.g., ***1-b, 1-d, 2-e, 2-f, 3-b, 4-c, 5-e, and 6-a***)

The third author commits to executing the following phase and activities: (e.g., ***1-c, d; 1-a, b, c; 2-e; 3-c, 4-b***)

**Second clause:**

The supplementary material and Excel PivotTable of the article in question will be used to determine the author of the work and holder of owner rights per the criteria established by Vallejo *et al.* (2012). The collaborator with the highest score, thus, assuming the most responsibility will be the principal author or first author, and will spearhead the research and the publication process of the work.

Similarly, the table will be used to establish authorship order and the percentage of contribution of the authors to the work, and thereby the respective owner rights, per the criteria established by Vallejo *et al.* (2012).

The responsibilities and contributions assumed by the collaborators in the First Clause will be included in the table and weighted to determine stipulations herein.

**SECOND PHASE:**

**Third clause:**

Once the literary work is completed, the Excel PivotTable proposed by Vallejo *et al.* (2012) must be completed again to verify the following:

1. Compliance or noncompliance with the responsibilities assumed by each collaborator in the creation of the work (First clause).

2. Who, on merit, will be the author of the work and who will be the holder of owner rights (Second clause).

3. Authorship order (Second clause).

4. The corresponding percentage of ownership (Second clause).

**Fourth clause:**

Should any collaborator obtains a score below the critical minimum defined in the Excel PivotTable, he/she must accept exclusion as author of the publication and cannot legally claim moral or property rights. But will be entitled to appear in the acknowledgments section.

In the event that during the investigation or publication new collaborators arise, these will adhere to the same provisions proposed herein to define authorship, order of authorship and ownership rights.

For new works other than those mentioned in this agreement, authorship, order of authorship and ownership rights will be established in the same manner delineated here.

**Fifth clause:**

This Agreement shall enter into force on the day it is signed by the parties and shall remain in force until the work is created.

**Sixth clause:**

Notwithstanding provisions on the effective date of this document, one or more contributors may terminate this agreement; however, in case of breach of duties (First clause) he/she may become excluded as author (insufficient input to the work), and will have no legal claim to moral or property rights to the work. In this scenario, the order of authorship among collaborators may change, as some of them shall assume the responsibilities that were not met by the withdrawing partner.

In witness thereof and agreement with the terms established, the parties have signed this agreement:

Date:

City:

Signature Signature

Collaborator Name Collaborator Name

I.D. Number I.D. Number

Signature Signature

Collaborator Name Collaborator Name

I.D. Number I.D. Number

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Acosta A (2007) Cómo definir autoría y orden de autoría en artículos científicos usando criterios cuantitativos. *Universitas Scientiarum* 12(1):67-81.

2 Vallejo M, Acosta A, Palacio Correa (2012) Authorship of scientific papers within an ethical-legal framework: quantitative model. *Universitas Scientiarum* 17(3): 315-329