

## **Guidelines for Authorship of Publications from Research Theses, Dissertations and Research Projects**

### **Purpose**

These guidelines are designed to provide students and staff with clarity around the authorship and publication of work contributing to and deriving from student research theses/dissertations/and projects. The guidelines seek to ensure that all contributing and participating authors of a published work developed out of, or as part of, a thesis/dissertation/project receive the appropriate level of recognition for their work.

### **Background**

Authorship is a way of assigning responsibility for intellectual work and contribution to research outputs, and a way of giving credit for academic work. Authorship is important to the career development and reputation of individuals and to the reputation of the University. Students are encouraged to publish from theses/dissertations/projects in order to disseminate the findings of that work, to develop research and publication skills, and to enhance their profile. Students are also encouraged to consider the circumstances under which authorship credit for the publication should extend to others who have contributed to the work. It is important that matters related to authorship credit are sorted out at an early stage in the development of a publication, and well before a manuscript is submitted for consideration by a journal or other publisher.

### **Criteria for authorship**

Authorship credit should reflect an individual's contribution to a manuscript. An author is considered anyone involved with initial research design, data collection and analysis, manuscript drafting, and final approval of a publication. However, in the case of student theses/dissertations/and projects, being a supervisor of the work, providing funding or resources, mentorship, or contributing research, but not helping with the publication itself does not necessarily qualify for authorship of a publication.

Expectations of authorship of publications from theses/dissertations/and projects must take account of the University of Waikato Intellectual Property Rights Policy related to student work.

### **Students and intellectual property**

Students should familiarise themselves with the University of Waikato Intellectual Property Rights Policy (<https://www.waikato.ac.nz/official-info/index/docs/intellectual-property-rights-policy>) which contains a section specifically dedicated to student intellectual property. In summary, this states that:

Intellectual property created by a student in the course of their studies at the University is normally the property of the student; exceptions to this are in cases where a scholarship, sponsorship, or funding arrangement assigns the intellectual property to the funder, or where the student project is part of a larger funded project with an intended

commercial outcome. There may also be situations where a student's intellectual property relies or builds on intellectual property of the University or a staff member and that material is not available for citation; in such a case shared ownership of the intellectual property should be negotiated at the outset of the student project.

In any situation where a student is asked to assign their intellectual property rights to the University or a third party, a full explanation for the request must be given. A student should not enter into any contract which prejudices their copyright ownership of a dissertation, thesis or any other piece of assessable work.

### **Responsibilities of authorship, authorship order, and contribution**

All University students and staff are strongly encouraged to agree on the authorship of any planned research outputs prior to the research being undertaken and to record this agreement in writing. It is recognised that, at times, it may be more realistic to assess relative contributions after the thesis/dissertation/project has been written.

The lead (first) author of a publication normally assumes responsibility for that publication, making sure that the data are accurate, that all deserving authors have been credited, that all authors have given their approval to the final draft; that the publication conforms to any requirements of the publisher, and handles responses to inquiries after the manuscript is published. How authorship order is determined should take the following into consideration:

- (1) Where the publication forms part of a thesis with publication, co-authorship of the paper with thesis supervisors and/or other contributing researchers is acceptable, though the student is expected to be the lead author and must have contributed the greater proportion of work on the paper. Depending on the relative contributions of student, supervisor(s) and/or other researchers, the options might be sole authorship by the student, or co-authorship. Where co-authorship is part of a thesis with publication, the thesis must include, as an appendix, a Co-Authorship Form, which details the contribution of all named co-authors of each publication, the percentage of their contribution, and the parts to which they contributed in terms of research and/or writing. The Co-Authorship Form should be completed at the time the paper is completed and readied for peer review by the research student. The Co-Authorship Form is available from the School of Graduate Research website.
- (2) It is expected that students will be the lead author for papers that result from their dissertation or thesis or present the main findings of their research both before and after that work has been examined.
- (3) Order of authorship on any subsequent manuscripts that do not present the main research findings should be determined based upon level of contribution to the particular manuscript.
- (4) In the case of larger studies where the students' research is part of a wider project, it is expected that the student will receive authorship credit for their portion of the study. Authorship for other aspects of the study should not be assumed.
- (5) Given that honours level research is often conceptualised and driven by the supervisor, order of authorship will be determined based on level of contribution.
- (6) If a student's research has not been prepared for publication within one year from the submission of the final thesis, dissertation or project grade, or withdrawal from the qualification or paper, or earlier with the student's approval, the supervisor may prepare work for publication, citing the student as co-author. Every effort must be made to gain the student's participation in and approval for such publication,

and the supervisor must ensure the ethical acceptability of publishing the research findings. Normal rules for determining the order of authorship still apply in this situation.

### **Acknowledgement of contributors who are not assigned authorship**

All contributors who do not meet the criteria for authorship should be listed in an acknowledgements section, and their function or contribution should be described, for example “collected data”, “provided writing assistance”, “served as scientific advisors”.

### **University affiliation**

Students should acknowledge the University of Waikato as the institution to which they are affiliated in their research outputs. An institute, centre, school, faculty or division may also be listed. If the student’s enrolment at the University has ended and they have moved to another institution, that new affiliation can be used.

### **Authorship and misconduct**

In writing publications it is important to acknowledge the work of other authors through a standard citation system so that readers can identify the contribution of the author or authors in the context of previous work. The following are considered to be misconduct in research:

- Plagiarism, including the direct copying of textual material, the use of other people’s data without acknowledgement and the deliberate use of published or unpublished ideas from other people without adequate attribution;
- Misleading ascription of authorship, including the listing of authors without their permission, attributing work to others who have not contributed to the research, and failing to acknowledge work primarily produced by a research student/trainee/associate.

### **Procedure for dispute resolution**

In the event of a dispute regarding authorship, students and staff should refer to the processes set out in the Code of Student Conduct and Staff Code of Conduct.

Professor C. Kay Weaver  
Dean, Te Mata Kairangi, School of Graduate Research  
13 November 2019.

These Guidelines will be reviewed after one year of use - at the end of 2020.