

Authorship Policy and Guidelines

Postgraduate Research Students and Academic Staff Members

Last Modified	May 2021
Review Date	May 2022
Approval Authority	Deputy Vice Chancellor
Contact Officer	Dean of Postgraduate Research - Office of the Deputy Vice-Chancellor

Introduction

This policy provides guidance on how authorship may be determined where multiple contributors are involved in research and seeks to ensure that all contributors receive appropriate recognition.

Policy Statement

The University of Canterbury expects the publication of research.

University staff and students are required to follow the authorship standards and guidelines of the relevant journal, publisher or organisation when preparing and submitting material for publication. In general, authorship will be determined in accordance with the [Vancouver Recommendations \(International Committee of Medical Journal Editors\)](#).

Researchers are strongly encouraged to agree on the authorship of any outputs that result from collaborative research prior to undertaking the research or preparation of a publication.

Authorship Recognition

Authorship recognition is based on:

1. Substantial contributions¹ to the conception and design of the work, or the acquisition, analysis or interpretation of data for the work, AND
2. Drafting the work or revising it critically, AND
3. Participation in the final approval of the version to be published, AND
4. Agreeing to be accountable for all aspects of the work and ensuring that the accuracy or integrity of any part of the work has been appropriately investigated and resolved.

Where academics, other researchers and students are involved in the preparation of a research output, it is the responsibility of the academics to clarify with the students the terms of their roles, including whether the students will be an authors on any resulting publications.

Authorship Determination

- All authors are expected to meet conditions 1, 2, 3 and 4.
- All researchers who meet conditions 1, 2, 3 and 4 will be listed as authors.

Securing funding, collection of data, provision of routine technical help, or general supervision of the research group alone does not constitute a right to authorship.

Once an author has been offered co-authorship that co-authorship can only be rescinded if all parties agree, in writing.

Any disagreements over co-authorship should be taken to the relevant HOD/HOS in the first instance and can subsequently be escalated to the Dean of Postgraduate Research or the Deputy Vice-Chancellor where necessary.

In some cases, “multiple primary authorship” may be appropriate and permitted by a journal, but such options should be discussed with, and agreed by, all authors. If there is an expectation that a publication may appear in a student’s thesis, the appropriateness of multiple primary authorship must be discussed with the Dean of Postgraduate Research.

Guidelines

- All contributors who do not meet the criteria for authorship should be listed in an acknowledgements section, along with a description of their functions and contributions.

¹ **A substantial contribution** is a contribution whose absence would have diminished the quality or the impact of the entity to which it contributes.

- One author should be responsible for the publication and should ensure that the other authors accept responsibility either for the entire research output or, where the contributions are distinguishable, for those parts of it that they have authored.
- A student who has played the key role in the research is generally expected to be the lead (or primary) author of any consequent publications, unless an alternative order has been agreed by all parties in advance. A record of any agreement should be made in writing.
- It is desirable that authorship and authorship order is discussed and agreed in advance of conducting the research, although it is acknowledged that the situation may change as the research progresses, in which case the authorship and order should be revisited and agreed by all parties.

Breach

Failure to comply with this document may be judged to have brought the University into disrepute, and may lead to disciplinary action.

Related Documents and Information

UC Regulations

- [Academic Integrity and Breach of Instruction Regulations \(University Regulations website\)](#)
- [Discipline Regulations \(University Regulations website\)](#)

UC Policy Library

- [Academic Integrity Guidance for Staff and Students \(PDF, 270KB\)](#)
- [Intellectual Property Policy \(PDF, 534KB\)](#)
- [Proof-reading and Editing Guidelines \(PDF, 148KB\)](#)
- [Student Code of Conduct \(PDF, 220KB\)](#)
- [Staff Code of Conduct \(PDF, 289KB\)](#)

UC Website and Intranet

- [Including Publications in Thesis – Guidelines for Students \(University Postgraduate webpages\)](#)

External

- [Vancouver Recommendations \(International Committee of Medical Journal Editors\)](#)

Document History and Version Control Table			
Version	Action	Approval Authority	Action Date
1.00	Policy development and inclusion with the UCPL	Deputy Vice-Chancellor	March 2019
2.00	Scheduled review by CO, minor changes only	Policy Unit	May 2021

This policy remains in force until it is updated.