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## Recognition of Authorship Policy

### Research Policy

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#### 1 Purpose

The [Education Act 1989](#), s162(4), makes clear that universities maintain, advance, disseminate, and assist the application of knowledge. Likewise, the University Charter describes the University as a “high quality research-led” institution, aiming to be recognised as a “world leader in a number of areas of scholarship and enquiry.” The principal means by which university academics advance and disseminate knowledge is by publishing research; world leaders are active publishers. The purpose of this policy is to ensure that all contributing or participating authors receive appropriate recognition for their work.

#### 2 Organisational Scope

This is a University-wide policy.

#### 3 Definitions

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

Publication: Can refer to either the action of publishing or the actual published work

#### 4 Policy Content and Guidelines

##### 4.1 Authorship

- (a) Recognition of Authorship in relation to a publication is warranted when a person makes a significant contribution to a work in at least one of the following ways:
  - (i) conception and design of research;
  - (ii) analysis and interpretation of data;
  - (iii) drafting the publication or revising it for important intellectual content.
- (b) Neither participation solely in the acquisition of funding, nor the routine collection of data, nor general supervision of a research group is sufficient on its own to justify attribution of authorship.
- (c) Authors of a publication should be able to take public responsibility for at least that part of the work that falls within their area of expertise.
- (d) Researchers are encouraged to discuss recognition of authorship at an early stage in the project, and where possible, to reach a decision at this stage. Researchers are also encouraged to review these arrangements periodically, especially at the request of any one of the participants.

- (e) Researchers should record and retain any initial agreement on recognition of authorship and any subsequent changes to that agreement.
- (f) Should disputes arise over recognition of authorship, the Dean, or delegated authority (who is not a party to the research), should in the first instance facilitate negotiation among the parties. If a dispute is not resolved, the Research Office will appoint an independent mediator.
- (g) Contributions that do not warrant recognition of authorship may be acknowledged in a note or other means as customary in the discipline.
- (h) Nothing in 4.1 (a) – (g) should be construed to circumvent attributing authorship when recognition of that authorship is warranted.

#### **4.2 Special considerations when co-authors are students**

- (a) When a supervisor makes a significant contribution as defined in 4.1 (a), their authorship should be recognized.
- (b) Particular care should be taken with students to distinguish between work that is produced for a qualification, and work that is produced for publication.
  - (i) *Work produced for a qualification.* Any work undertaken by a student as part of a qualification is the final responsibility of the student, not of a staff member. In other words, students must be the authors of their thesis or other similar work that is required for a qualification.
  - (ii) *Work produced for publication.* Because supervisors normally contribute intellectually to a student's research, joint publication is frequently a warranted output from the supervisory relationship [see, for example, Section 4.2.3 of the [Intellectual Property Policy](#)].
- (c) When staff and students work collaboratively on a publication, it is recommended:
  - (i) that a VUW staff member be the author who corresponds with the publisher;
  - (ii) that the authors complete the Agreement which can be found in the Appendix. The Agreement should be submitted to the appropriate Associate Dean (or equivalent) to be held on the student's file.
- (d) Researchers should record and retain any initial agreement on recognition of authorship and any subsequent changes to that agreement.
- (e) Nothing in 4.2 (a) – (d) should be construed to circumvent attributing authorship when recognition of that authorship is warranted.

## **5 Legislative Compliance**

The University is required to manage its policy documentation within a legislative framework. The legislation directing this policy is the:

[Education Act 1989](#)

## **6 References**

[Intellectual Property Policy](#)

## **7 Appendices**

Appendix A: [Staff-Student Publication Agreement](#)

**8 Approval Agency**

Academic Board

**9 Approval Dates**

This policy was originally approved on: 7 December 2000  
This version was approved on: 16 November 2006  
This version takes effect from: 16 November 2006  
This policy will be reviewed by: 16 November 2009

**10 Policy Sponsor**

Deputy Vice-Chancellor (Research)

**11 Contact Person**

The following person may be approached on a routine basis in relation to this policy:

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