

Faculty of Engineering Guidelines for a Thesis Containing Co-authored Content

Oct. 6, 2016

Background:

Doctoral and master's theses can take various forms. It has become common in Engineering for students to publish outcomes from their research **prior** to completing their degree and subsequently to incorporate some or all of the published material within their thesis. Frequently the previously published material is co-authored¹ with the student's supervisor(s), but also may be co-authored with other graduate or undergraduate students, post-doctoral researchers, full-time researchers or technicians, etc.

It is important that (a) the thesis appropriately reference co-authored content and (b) clearly specify the contributions made by the student (i.e. the author of the thesis) to any co-authored content.

The University requires students to include an ["Author's Declaration"](#) page within their thesis. This "declaration" must either state that (a) the student is the sole author of the thesis contents; or (b) the student has authored or co-authored the thesis content. If declaration "b" is applicable then students must also include a "Statement of Contributions".

The purpose of the following is to provide graduate students in the Faculty of Engineering with guidance on how to appropriately disclose and clearly define their contributions to co-authored material in their thesis. They are labelled as guidelines (rather than regulations) in that the format by which students disclose the presence of co-authored material and by which they clarify their contributions to this material can vary and the best format may depend on factors such as the amount of co-authored content in the thesis, the number of co-authors, etc. Regardless of the format selected, students are responsible to ensure that University requirements are met (i.e. co-authored material is declared and contributions to co-authored material are clearly defined). Failure to satisfy these requirements can result in a postponed defense, requirement for re-examination, requirements for major modifications to the thesis, etc.

Guidelines:

Students may include co-authored material within their thesis as long as the following conditions are met.

1. All portions of thesis which have been co-authored must be clearly identified. This can be done by providing a complete list of all sections of the thesis which have been co-authored or by adding a footnote to each co-authored chapter or section and stating that the material has been co-authored. For material previously published it is necessary to provide the full citation information. For material which has not yet been published it is necessary to identify the venue to which the material has been submitted or to which submission is planned. For

¹ In the context of these guidelines, "co-authored" material includes any content in the thesis which has been authored by the thesis author and at least one other person, including material which has been previously published, submitted for publication, or is intended to be submitted for publication.

all cases, it is necessary to provide the full list of co-authors. It is also necessary to identify if the material in the thesis is a paraphrased adaptation of the co-authored material or is verbatim. (see examples in Appendix)

2. It is the student's responsibility to ensure that copyright is not violated. Even though the material the student includes in the thesis is theirs, once published, they may have signed away their copyright to the publisher. Many publishers will allow students to publish their article content in an institutional repository (ex. UWSpace) without seeking permission; [SHERPA/RoMEO](#) is a database that can be used to find out what a publisher's policy is regarding copyright. If students are in doubt about a publisher policy they should always contact them for clarification being sure to give the publisher full detail of how they intend to use their article (i.e. in an open access repository). If the student hasn't published yet they should consider using the [SPARC author addendum](#) when they sign a copyright agreement with their publisher. Doing so will allow students to retain the rights necessary to include their content within UWSpace.
3. The thesis must include an [author's declaration](#) page indicating the student is the co-author (not the sole author).
4. The thesis must include a "Statement of Contributions". Several different formats may be used but the student is responsible to ensure that their contribution to any material co-authored with anyone other than their supervisor(s)² is clearly stated. The Statement of Contributions may be a single section in the thesis in which co-authored material and the student's contributions are listed, or the Statement can be distributed so that the contributions are identified within the thesis where the co-authored material appears.
5. The final document must be coherent as a single thesis, even if all or most of the chapters in the thesis have been previously published.
6. The thesis must have a single list of references at the end of the thesis.

Students who are uncertain about the University requirements, or the best way to meet the requirements, should speak with the Associate Chair for Graduate Studies within their department/school.

² In engineering, it is the norm for students to co-author publications with their supervisor(s). For content which is co-authored by the student and the student's supervisor(s) it is typically not necessary to identify the specific contributions made by each co-author to the work.

Appendix:

There are many formats that can be used to satisfy the University requirements concerning the identification of co-authored material. The following provides some examples to illustrate ways to identify co-authored material in the thesis and describe the contributions that the thesis author has made to these co-authored materials. Students are not required to follow these example formats but they must satisfy the University requirement to clearly identify co-authored material and their contribution to co-authored material.

Note: When submitting a thesis that contains previously published content, the publisher may specify how they want the student to identify the published material. These conditions are usually contained in SHERPA/RoMEO (an example is shown in Figure 1), but students may have to consult the publisher's website for more detailed information. Students who require more information on how to comply with publisher conditions or how to use the information on SHERPA/RoMEO can access the University resources related to [copyright](#). This web site also identifies people on campus who can be contacted regarding copyright issues.

General Conditions:	<ul style="list-style-type: none">• Author's pre-print and Author's post-print on author's personal website, institutional repository, arXiv or preprint servers only• Publisher copyright must be acknowledged• Must link to publisher version• Publisher's version/PDF may be used on author's personal website only• Publisher's version/PDF cannot be used in a repository• Authors may have deposit in funding body's archive or funding body's designated repository for public release 6 months after publication or immediately upon payment of fee• All PNAS-formatted versions are deposited in PubMed Central for release after 6 months, regardless of funding
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Figure 1: Example of publisher conditions on SHERPA/RoMEO

Example 1: Identifying a Chapter that has been co-authored and previously published.

Chapter 5: Proposed model for Estimating Computation Load ¹

In this chapter we describe the proposed model for estimating the computation load associated with

...

¹ This is an Accepted Manuscript of an article published by Taylor & Francis in [JOURNAL TITLE] on [date of publication], available online: [http://www.tandfonline.com/\[Article DOI\]](http://www.tandfonline.com/[Article DOI]). J. Smith, M. Doe and B. East, "Method for estimating computation loads of high order prediction arrays"

Example 2: Identifying a section of a Chapter that has been co-authored and submitted for publication.

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7.4: Impact of cyclic loading on fatigue properties¹

This section of the chapter describes the impact that cyclic loading has on the fatigue properties of the connection.

...

¹ The contents of this section of the chapter have been incorporated within a paper that has been submitted for publication. C. Por, M. Deer and J. Frost, "Fatigue properties of cold formed steel connections subject to cyclic loading" Submitted to the Journal of Cold Hard Steel. Submission date Feb. 29, 2016.

Example 3: Use of the “Statement of Contributions” to clarify contributions to co-authored material contained in the thesis.

Statement of Contributions

Chapter 5 of this thesis consists of a paper that was co-authored by myself, my supervisor, Dr. East, and a MASC student, Mr. Doe. I developed and documented the methodology. Mr. Doe implemented the method within software and conducted the numerical evaluations.

Section 4 of Chapter 7 has been incorporated within a paper that has been submitted for publication. The paper is co-authored by my supervisor (Dr. Por), Dr. Deer, a post-doctoral fellow, and myself. Drs. Por and Deer developed the methodology and experimental design. I carried out the lab experiments, collected and analyzed the experimental data, and assisted with the writing of the paper.

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