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|  | **Aalborg University**  **The Technical Doctoral of IT and Design** |

# Co-author statement in relation to submission of a PhD thesis

With reference to Ministerial Order no. 1039 of August 27 2013 regarding the PhD Degree § 12, article 4, statements from each author about the PhD student’s part in the shared work must be included in case the thesis is based on already published or submitted papers.

**Paper title**:

**PhD student name**:

**Paper number in the thesis** (if applicable):

**Is the paper co-authored by more than one AAU PhD-student?**

No  Yes if yes, specify:

**Publication outlet** (incl. volume, number/issue, pages, year etc):

**List of authors** (same order as publication, indicate PhD-student(s)):

***Scientific contribution of the PhD student*** *(and of any other co-author who is a PhD student at AAU):*

*For papers with multiple AAU PhD students as co-authors, duplicate and fill the percentage blocks per PhD student. Describe the contribution of all PhD students in the text box.*

**1. Intellectual and analytic contributions**:

0-25 %  26-50 %  51-75 %  76-100 %

Specify contribution (mandatory):

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**2. Production of empirical data and analysis** (if applicable)**:**

0-25 %  26-50 %  51-75 %  76-100 %

Specify contribution (mandatory):

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**3. Writing process:**

0-25 %  26-50 %  51-75 %  76-100 %

Specify contribution (mandatory):

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**Name(s) and signature(s), PhD student(s):** *(add additional rows as needed)*

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**Names and signatures, co-authors:** *(add additional rows as needed)*

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**Information on co-author statements**

Often PhD theses are written as a collection of papers with an introductory and overview part plus a number of publications. If the monograph format is chosen, the thesis is still frequently based on a number of scientific papers. In both cases, it is mandatory to submit co-author statements for each paper that in any way constitutes a part of the thesis.

A co-author statement must be made for each single paper, giving full information on authors, title, outlet and also volume, number/issue, pages, year etc. if the paper has been published. The same applies to papers submitted for publication – or even if it is a technical report with more authors than the PhD student(s). The co-author statement must include a clear description of the contribution of the PhD student(s) to allow the thesis assessment committee members to understand which parts of the work was done by the respective PhD student.

**Intellectual and analytic contributions:**

First, indicate each PhD student’s contribution in percentage. Next, elaborate in prose e.g. by describing for example:

* The PhD student’s contribution to defining the overall problem and the proposed core scientific idea to solve it.
* The PhD student’s contribution in identifying relevant performance metrics and interpretation of the simulation and experimental results.
* The PhD student’s contribution to developing the methodologies or the theoretical framework/models.

**Production of empirical data and analysis:**

First, indicate each PhD student’s contribution in percentage. Next, elaborate in prose e.g. by describing for example:

* The PhD student’s contribution to implementation and simulations or building a prototype.
* The PhD student’s contribution to data collection.
* The PhD student’s contribution to developing design of experiments.
* The PhD student’s contribution to post-processing, visualization, and interpretation of results.

**Writing process:**

First, indicate each PhD student’s contribution in percentage. Next, elaborate in prose e.g. by describing for example:

* The PhD student’s contribution in writing the paper.
* The PhD student’s contribution to commenting on the paper.
* The PhD student’s contribution to revising the paper.

This is obviously just to provide an idea of how the author contributions may be described. In particular, when two (or more) AAU PhD students have a joint scientific paper, they should prepare a joint co-author statement where the contribution of each student is clearly described. The PhD degree is awarded for an independent research contribution and hence it must be possible to clearly identify the contribution of each (PhD student) author in joint papers. It is important that the scientific contributions (ideas, methodology, procedures, validation etc.) are also covered – it is not sufficient just to indicate who has written what part. A separate statement for each article must be made. Factual and individual descriptions for each separate article are preferred. It is strongly recommended that co-author statements are acquired as soon as a joint paper is finished.

The main supervisor must ensure that the co-authors agree with the co-author statement. Electronic signatures or scanned copies of the signatures are accepted.

**Co-author statements must be approved by the PhD Study Director and forwarded to the assessment committee before the assessment can commence. In extraordinary cases, it is possible to get the wording of the co-author statements pre-approved before signatures are collected. A valid reason must be presented in order for this process to be initiated. The co-author statements must be sent to the Doctoral School.**