

Authorship Policy

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1. PURPOSE

The Institute supports and encourages active involvement of students and staff in research activity and recognises the significant value of research outputs. Inclusion of a researcher or research trainee as an author is a fitting recognition to making a substantial contribution to the intellectual aspects of a body of work. As authorship is used as an indicator of a researcher's productivity, it is vital that only those who meet the criteria for authorship are included as such. The purpose of this policy is to document the acceptable and unacceptable inclusions for authorship and to provide information regarding the procedures involved in confirmation of authorship. This policy also clarifies the Institute's position regarding open access to research output.

The principles and procedures outlined in this policy are consistent with the Institute's *Code of Conduct for Research* and the *Australian Code for the Responsible Conduct of Research 2018 (The Code)* and should be read in conjunction with documents in the Institute's research policy framework including the *Academic Intellectual Property Policy* and the *Research Materials and Data Management Policy*.

2. SCOPE

This policy applies to all staff, including honorary staff working under the auspices of the Institute, and students who carry out research as part of their enrolment at the Institute. It includes theses and dissertations but excludes coursework units.

3. DEFINITIONS

Author refers to a named contributor to a scholarly work which may include publication in a journal, conference proceedings or monograph.

Research outcomes are works that are the product of research and may include publication of journal articles, book chapters and books.

Open access refers to research outputs being made available online and world-wide, free of charge and

free of most other access restrictions.

4. PROCEDURE

4.1 Principle

Responsible conduct of research includes the honest recognition and acknowledgement of contributions made to the development and production of a research publication. This requires that only those people who have met the conditions of authorship are to be included as authors. Authorship should be assigned fairly, consistently and involve transparent communication between all contributors.

4.2 Authorship Criteria

Attribution of authorship must be based on making a substantial intellectual or scholarly contribution to a research output and accepting responsibility for that contribution and/or the work as a whole. Researchers must meet one or more than one of the following four criteria:

- Conception and design of the research described in the work;
- Acquisition of research data where the acquisition has required significant intellectual judgement or input;
- Analysis and interpretation of data;
- Drafting the research output or revising it critically for important intellectual content.

An author's role in a research result must be sufficient for that person to take public responsibility for at least part of the output in that person's area of expertise. No person who is an author, consistent with these criteria, is to be included or excluded as an author without their permission in writing.

4.3 Unacceptable inclusions

Unacceptable inclusions of authorship include researchers who have not made a significant intellectual or scholarly contribution to a research output, i.e. not participated in conceiving, designing, executing or interpreting research, or who are unwilling to take responsibility for their contribution.

Further to this, it is unacceptable to include persons solely on the basis of:

- their position of authority or close relationship with the author;
- the acquisition of funding or provision of materials/access to equipment;
- the collection of data;
- general supervision of a research group; or
- provision of technical or general assistance, without other intellectual input.

4.4 Acknowledgement of other contributions

A publication must contain appropriate reference to the contributions made by all participants in the relevant research. Contributors who do not meet the criteria for inclusion as author, for example collectors of research data, should still be acknowledged in any publication derived from that research. Convention demands that individuals and organisations providing facilities should also be acknowledged.

Written consent must be obtained from individuals who are named as contributors, prior to publication. Research output must include information on any sources of financial input. Financial sponsorship that carries an embargo on naming of a sponsor should be avoided.

Research output which is substantially similar to other output derived from the same research must contain appropriate reference to the other publication. A researcher who submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.

4.5 Confidentiality

Confidentiality provisions relating to publications may apply in circumstances where the researchers have made or given confidentiality undertakings to third parties or confidentiality is required to protect intellectual property rights. It is the responsibility of researchers to enquire at an early stage as to whether confidentiality provisions apply.

4.6 Confirmation of authorship

All research outputs to which the Institute researchers have contributed must have the authorship confirmed and recorded. The Institute's *Statement of Authorship Form* must be completed, signed and lodged with the Research Service Office. Where it is not practical to obtain an original signature, faxed or emailed consent is acceptable. These completed forms are to be located in a secure system consistent with the requirements of the *Research Materials and Data Management Policy*. A copy of the relevant research output must also be submitted to the Institute's Education Digital Repository.

Researchers and research trainees must refer to the *Research Materials and Data Management Policy* and must comply with that policy's requirements. Further, researchers must declare any conflicts of interest such as sources of funding or affiliations to avoid any perceptions of lack of academic integrity.

Where there is more than one co-author of a research output, one co-author (by agreement amongst authors) should be nominated as responsible or principal author for the whole research output, and should take responsibility for record-keeping regarding the research output.

4.7 Responsibilities

- The Institute is responsible for ensuring that researchers and research trainees have access to and understand the requirements of this policy.
- Researchers and research trainees are responsible for reading, understanding and meeting the requirements of this policy.
- The Research Service Manager is responsible for ensuring that appropriate procedures are followed with regard to the completion and storage of Statement of Authorship Forms.

4.8 Public Access

All refereed, revised, final draft research outputs will be deposited in the Institute's Education Digital Repository after their acceptance for publication. Books or chapters in books may be self-archived at the author's discretion. These manuscripts will be made open access, openly available on the internet, except where this is restricted by publisher embargo or other conditions that restrict open access policy. The publisher version will be the version made publicly available in the Institute's Education Digital Repository where there is agreement from the publisher for this version to be made open access. Depositing the material in the Institute's Digital Repository does not transfer copyright to the Repository. Copyright remains with the author or publisher as per the publishing agreement. The Institute's Digital Repository will not alter the material except as allowed under law.

4.9 Resolving Authorship Disputes

Where a dispute arises between authors it is recommended that an attempt should be made by the authors, research supervisor and/or Dean of School to find a satisfactory resolution. Where the supervisor or Dean of School is one of the potential authors, the Provost should be included as part of the resolution process. Where issues cannot be resolved to the satisfaction of all parties, the dispute will be referred to the Academic Board for its determination.

Allegations of research misconduct in regard to authorship will be dealt with in accordance with the *Code of Conduct for Research, Workplace Grievance Policy* or *Student Grievance Mediation Policy and Procedures*.

5. RELATED DOCUMENTS

- i. Code of Conduct for Research
- ii. Research Materials and Data Management Policy
- iii. Academic Intellectual Property Policy
- iv. Workplace Grievance Policy
- v. Student Grievance Mediation Policy and Procedures

Version Control

Historical Version	Approved by	Approval Date
2013.12	Academic Board	19 December 2013