

AUTHORSHIP POLICY

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| Related policies or other documents: | <i>Australian Code for the Responsible Conduct of Research</i> UNE Code of Conduct for Research Knowledge Assets and Intellectual Property Policy Management and Storage of Research Data and Materials |

1. RATIONALE AND SCOPE

The universally recognised outcomes from research include publication of journal articles, book chapters and books. Inclusion of a researcher or research trainee as an author for such a publication is a fitting recognition when they have made a substantial contribution to the intellectual aspects of the 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.

This policy applies to all employees and students of the University of New England for traditional and web-based publications. It provides a definition of "authorship", consistent with the UNE Code of Conduct for Research and the *Australian Code for the Responsible Conduct of Research*, and should be read in conjunction with the *Knowledge Assets and Intellectual Property Policy* and the *Management and Storage of Research Data and Materials*.

2. DEFINITIONS

Authorship is defined in the *Australian Code for the Responsible Conduct of Research (2007)* as *substantial contributions in a combination of the following:*

- (a) *conception and design, analysis and interpretation of data;*
- (b) *drafting the article or revising it critically for important intellectual content; and*
- (c) *final approval of the version published.*

Head of School: *for the purposes of this policy this term includes the head of the cost centre of which the individual researcher or research trainee is a member by whatever title that head is designated.*

3. PRINCIPLES

Responsible conduct of research includes the honest recognition and acknowledgement of contributions made to the development and production of a research publication or other creative work. This requires that only those people who have met the conditions of authorship are to be included as authors.

4. POLICY

- 4.1. The University is responsible for ensuring that Heads of Schools, researchers and research trainees have access to and understand the requirements of this policy.

- 4.2. Researchers and research trainees are responsible for reading, understanding and meeting the requirements of this policy.
- 4.3. Heads of Schools are responsible for ensuring that university procedures are followed with regard to the completion and storage of *Statement of Authorship Forms*.
- 4.4. A publication must contain appropriate reference to the contributions made by all participants in the relevant research.
- 4.5. 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.
- 4.6. The right of a contributor to be included as author on a publication exists only if that contributor meets the conditions of the definition of 'authorship' under section 2 of this policy.
- 4.7. No person who is an author, consistent with this definition, is to be included or excluded as an author without their permission in writing.
- 4.8. 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.
- 4.9. A publication which is substantially similar to another publication derived from the same research must contain appropriate reference to the other publication.
- 4.10. A researcher who submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.
- 4.11. Unacceptable inclusions of authorship.
 - 4.11.1. A person who has not participated in conceiving, designing, executing or interpreting at least part of the relevant research is not to be included as an author of a publication derived from that research.
 - 4.11.2. Authorship must not be granted to anyone solely on the basis of their position of authority or close relationship with the author.
 - 4.11.3. Participation solely in the acquisition of funding or the collection of data does not justify authorship.
 - 4.11.4. General supervision of the research group is not sufficient for authorship.
 - 4.11.5. Provision of technical or general assistance, without other intellectual input, does not satisfy the criteria for authorship.
- 4.12. Acknowledgement of other contributions.
 - 4.12.1. Written consent must be obtained from individuals who are named as contributors, prior to publication.
 - 4.12.2. Contributors whose contribution is insufficient for inclusion as author, for example collectors of research data, should be acknowledged in any publication derived from that research. Convention demands that individuals and organisations providing facilities should be acknowledged.
 - 4.12.3. Publications must include information on the sources of financial support for the research, and financial sponsorship that carries an embargo on such naming of a sponsor should be avoided.
- 4.13. Confidentiality.
 - 4.13.1. Confidentiality provisions relating to publications may apply in circumstances where the University or the researchers have made or given confidentiality undertakings to third parties or confidentiality is required to protect intellectual property rights.
 - 4.13.2. It is the responsibility of researchers to enquire at an early stage as to whether confidentiality provisions apply.
 - 4.13.3. It is the responsibility of the Head of School to inform researchers of the obligations with respect to these provisions.

5. PROCEDURES

- 5.1. On each occasion that research results are prepared for publication, a *Statement of Authorship Form* must be completed, signed and lodged in the university's repository.
 - 5.1.1. Researchers and research trainees must also be aware of requirements under the University's *Management and Storage of Research Data and Materials*.
- 5.2. Where it is not practical to obtain an original signature, faxed or emailed consent is acceptable.
- 5.3. Heads of Schools must ensure that these completed forms are located in a secure system consistent with the requirements of the University's *Management and Storage of Research Data and Materials*.