

DRAFT AUTHORSHIP POLICY

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1. RATIONAL AND SCOPE

The universally recognised outcomes from research include the 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 researchers and research trainees 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 participation, where all of the following conditions are met:

(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.

3. PRINCIPLES

Intellectual integrity and the responsible conduct of research require 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 accessing, understanding and meeting the requirements of this policy, including completing and lodging a *Statement of Authorship Form* in the central repository in Dixson Library.
- 4.3. A publication must contain appropriate reference to the contributions made by all participants in the relevant research.
- 4.4. An author's role in a research output must be sufficient for that person to take public responsibility for at least part of the output in that person's area of expertise.
- 4.5. 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.
- 4.6. No person who is an author, consistent with this definition, is to be included or excluded as an author without their permission in writing.
- 4.7. 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.
- 4.8. A publication which is substantially similar to another publication derived from the same research must contain appropriate reference to the other publication.
- 4.9. An author who submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.
- 4.10. Unacceptable inclusions of authorship.
 - 4.10.1. A person who has not participated in conceiving, 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.
 - 4.10.2. Authorship must not be granted to anyone solely on the basis of their position of authority or close relationship with the author.
 - 4.10.3. Participation solely in the acquisition of funding or the collection of data does not justify authorship.
 - 4.10.4. General supervision of the research group is not sufficient for authorship.
 - 4.10.5. Provision of technical or general assistance, without other intellectual input, does not satisfy the criteria for authorship.
- 4.11. Acknowledgement of other contributions
 - 4.11.1. Written consent must be obtained from individuals who are named as contributors, prior to publication.
 - 4.11.2. Contribution to research made by any persons which are insufficient for them to be included as authors, for example assistance in collecting research data, should be recognised in any a publication derived from that research.
 - 4.11.3. Convention demands that individuals and organisations providing facilities should be acknowledged.

- 4.11.4. 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.
- 4.12. Confidentiality.
 - 4.12.1. 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.
 - 4.12.2. It is the responsibility of researchers to enquire at an early stage as to whether confidentiality provisions apply.
 - 4.12.3. 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 outcomes are published, a *Statement of Authorship Form* must be completed by the principal researcher/author and signed by those who meet the requirements for *authorship* under this policy.
- 5.2. Where it is not practical to obtain an original signature, faxed or emailed consent is acceptable.
- 5.3. The *Form* must be signed by the Head of the School of which the principal researcher/author is a member.
- 5.4. The principal researcher/author must lodge the completed form with Dixon Library for inclusion on the central repository, where it will be maintained for a period consistent with the requirements of the University's *Records Management Policy*.
- 5.5. Researchers and research trainees must also be aware of requirements under the University's policy, *Management and Storage of Research Data and Storage*.