

# Authorship of Research Output Procedures

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## INTRODUCTION

Authorship of a research output conveys both recognition of a significant contribution to the work and responsibility for the material presented. It is important that authorship is assigned appropriately.

These procedures support the principles of the [Australian Code for the Responsible Conduct of Research](#) (the Code) and the University's [Responsible Conduct of Research Policy](#). Researchers should adhere to the authorship criteria of the Code and these procedures.

Note: Authorship and copyright are not the same. For assignment of copyright contact the University Copyright Officer and refer to the University's [Intellectual Property Policy](#).

## COMPLIANCE

This is a compliance requirement under the [Higher Education Standards Framework \(Threshold Standards\)](#); and [Australian Code for the Responsible Conduct of Research](#).

## INTENT

This document is intended to provide University researchers procedures on the assignment of authorship. It aims to ensure the integrity of collection and reporting of research outputs.

## RELEVANT DEFINITIONS

In the context of this document

**Researcher** means any staff member, person awarded honorary or academic status by the University, student, or person otherwise associated with the University, who conducts research in the course of employment, study or a formal research affiliation with the University.

## PROCEDURES

### Assignment of Authorship

Assignment of Authorship must be based on substantial scholarly contributions in a combination of:

- Conception and design of the project;
- Analysis and interpretation of research data; and
- Drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

Authorship is to be assigned as early as possible in the development of each research output and reviewed periodically.

Where a work has several authors, the order of authorship should be a joint decision of all co-authors. Generally, the first-named author is the one who will be appointed executive author to record authorship and to manage communication about the work with the publisher.

Authorship is to be offered to all those (including research trainees and assistants) who meet the criteria for authorship listed above. All named authors must be willing to accept public responsibility for their part in the publication.

A person who qualifies as an author must not be included or excluded as an author without their written permission, which should include a brief description of their contribution to the work. This permission will be retained by the corresponding author.

In the case where an author is deceased or cannot be contacted despite reasonable efforts, the publication can proceed providing there are no grounds to believe that the person would have objected to being included as an author. A record documenting what efforts have been made to locate/confirm the author is to be kept in the relevant faculty office.

Authorship should not be offered to those who do not meet the criteria for authorship listed above regardless of their role.

Researchers must ensure that all those who have contributed to the research, facilities or materials are properly acknowledged. Where individuals are to be named their written consent must be obtained.

Authors of web-based publications must take responsibility for the publication's content and must be clearly identified in the publication.

## Related Matters

The authors will observe the following conventions:

- Substantially-similar works submitted to more than one publisher should be disclosed as such to each publisher;
- Publications derived from other works published earlier in the project should make reference to those earlier works;
- Any bodies which have provided substantial support to the research should be acknowledged in any resultant publications; and
- Upon publication, the authors will provide a copy of the published work, along with all required details, to the relevant Publication Collections Officer in their School or Faculty.\*

All data relating to the research and its published outputs should be stored in accordance with the University [Research Data Management Procedures](#).

Disputes about authorship of research publications that cannot be resolved by the authors should be referred to the Deputy Director, Research and Innovation.

\*These are interim arrangements for publication/data storage to be revised when the institutional repository arrangements are in place.

## ESSENTIAL SUPPORTING INFORMATION

### Internal

[Academic and Scientific Misconduct Policy](#)

[Animal Ethics Committee Terms of Reference](#)

[Code of Conduct](#)

[Human Research Ethics Committee Terms of Reference](#)

[Intellectual Property Policy](#)

[Research Data Management Procedures](#)

[Responsible Conduct of Research Policy](#)

### External

[Australian Code for the Responsible Conduct of Research](#)

[Australian Code of Practice for the Care Use of Animals for Scientific Purposes](#)

[National Statement on Ethical Conduct in Research Involving Humans](#)

## Document History and Version Control

<b>Last amendment:</b>	15 Dec 2017	<b>Next Review:</b>	May 2011
<b>Sponsor:</b>	Deputy Vice-Chancellor, Research and Research Training		
<b>Contact Officer:</b>	Deputy Director, Research and Innovation		

Version	Date Approved	Approved by	Brief Description
1.00	27 Mar 2009	Academic Board	<p>Creation of original document and upload to CDU website.</p> <ul style="list-style-type: none"> <li>• Conversion of guidelines to new format.</li> <li>• Changing Deputy Vice-Chancellor Research to Deputy Vice-Chancellor Research and International to reflect title change.</li> <li>• Addition of hyperlinks to essential supporting documents.</li> </ul>
1.01	29 Aug 2011	Governance	<ul style="list-style-type: none"> <li>• Addition of relevant definitions, hyperlinks, essential supporting information – in line with template requirements</li> <li>• Minor changes to spelling, grammar and formatting.</li> </ul>
1.02	16 Jan 2012	Governance	<ul style="list-style-type: none"> <li>• Addition of hyperlinks</li> <li>• DVCRI changed to PVCRRRT in line with new organisational chart changes</li> </ul>
1.03	3 Jul 2013	Governance	<ul style="list-style-type: none"> <li>• Assigned document number</li> <li>• Converted to current template</li> <li>• Updated and added hyperlinks</li> <li>• Minor changes to wording, grammar and formatting</li> <li>• Changed contact officer to current position title</li> </ul>
1.04	15 Dec 2017	Governance	<ul style="list-style-type: none"> <li>• Converted to new Governance template due to new University branding</li> <li>• Updated hyperlinks</li> <li>• Research Practice Policy now known as Responsible Conduct of Research Policy</li> <li>• Added Sponsor Deputy Vice-Chancellor, Research and Research Training</li> </ul>