

<b>Purpose:</b>	To support researchers in the assignment of authorship.		
<b>Audience:</b>	Staff, Students		
<b>Supporting Procedures:</b>	<i>Authorship Attribution and Dispute Resolution Procedure</i>		
<b>Contact Officer:</b>	Manager, Research Ethics	<b>Phone:</b>	See Campus Directory

**Printed copies are for reference only. Please refer to the electronic copy in Policy and Procedure Manager™ [the electronic policy management system (EPMS)] to ensure you are referring to the latest version.**

**Preamble:**

This policy adopts the *Australian Code for the Responsible Conduct of Research 2007* (hereafter the *Code*) framework for authorship to support joint authorship agreements as well as to promote research integrity and researchers' reputation.

This policy and its accompanying procedures are intended for all authors, while acknowledging that a range of acceptable authorship practices and conventions exists across disciplines. The principles are most pertinent in jointly-authored publications where arrangements may be more complex.

For the purposes of this policy, authorship incorporates refereed and non-refereed written publications (including web-based publications) or other published material such as conference presentations, public performances and exhibitions, compositions, works of art, and software.

This policy does not address ownership of intellectual property, authorship of copyright works owned by Murdoch University, or inventions or patents, all of which are dealt with in other relevant Murdoch University regulations and policies.

**Objectives:**

1. To outline a set of criteria for authorship that is aligned with the *Code*.
2. To acknowledge and represent researchers' authorship contributions equitably and to ensure that recognition of and responsibility for publications are accorded correctly.
3. To support writing teams through the establishment of a set of criteria for authorship attribution.
4. To provide a mechanism for resolving authorship disputes that may arise.

**Policy:**

1. All Murdoch University staff, as defined in the *Responsible Conduct of Research Policy*, and students are expected to commit to professional and ethical standards of conduct in the area of authorship as set out in this policy.
  - 1.1. Former staff and students with publications based on research conducted at Murdoch University are expected to comply with the requirements of the *Code*.
2. Authorship must be attributed to all researchers who are able to take responsibility for at least that part of the work they contributed, and it must be based on substantial scholarly contributions in a combination of the following, as outlined in the *Code*, unless a higher standard such as the Vancouver Protocol is prescribed by the publisher:
  - 2.1. conception and design of the project;
  - 2.2. analysis and interpretation of research data; and

- 2.3. drafting significant parts of the work or critically revising it so as to contribute to the interpretation.
3. Individuals who meet the criteria in Sub-Clauses 2.1 and 2.2 should have the opportunity to participate in the review, drafting and final approval of the manuscript.
4. Individuals may meet the authorship criteria in Clause 2 in a paid or unpaid capacity.
5. Subject to Clause 2, some disciplines may require additional criteria for authorship attribution.
6. The authorship criteria may also apply to:
  - 6.1. the editor of a significant collective work or anthology;
  - 6.2. the members of a group that is named as the author of a publication arising from multicentre research projects; and
  - 6.3. the author of web-based publications who must be clearly identified in the publication.
7. If authorship is designated by a group name, with or without the names of individuals, the Executive Author should clearly identify the group's members who can take credit and responsibility for the work when the manuscript is submitted for publication.
8. Authorship must not be attributed for:
  - 8.1. ghost, gift or honorary authorship;
  - 8.2. holding positions of authority (e.g. PVC, Dean or Team Leader), or personal friendship with the authors;
  - 8.3. the acquisition of funding or general supervision of the research team;
  - 8.4. providing technical contribution/editing or routine assistance, writing assistance, language editing or proofreading, or general administrative support;
  - 8.5. providing data that has already been published or materials obtained from third parties without further analysis; and
  - 8.6. any other contribution that does not include intellectual input.

#### **Authorship Responsibilities**

9. Participating researchers should attribute authorship before commencing on the manuscript and retain all authorship decisions and relevant records for periodic review.
10. An Executive Author, who must be a member of Murdoch University, should be appointed by the participating researchers of joint publications, to manage communication about the work with the co-authors, editor/publisher and other contributors, and during the manuscript submission, peer review and publication process.
  - 10.1. The Executive Author does not need to be the primary author.
  - 10.2. If the Executive Author is from another organisation or university, a Murdoch University Executive Author should be elected to liaise with the external Executive Author.
11. The Executive Author must keep a record of authorship decisions, communication and agreements including copies of any written consent.
  - 11.1. The Executive Author must ensure that all records are made available to all collaborating authors.
  - 11.2. Where written consent is required, original handwritten signatures are preferred. If this is not possible or practical, electronic signatures or faxed/emailed consent are acceptable.
12. To the best of their ability, the Executive Author must ensure that all authors including external authors comply with the *Code*.
13. The Executive Author has primary responsibility for ensuring the completion of all the publication's administrative requirements including providing:

- 13.1. details of authorship;
  - 13.2. evidence of ethics and safety committee approvals, where applicable;
  - 13.3. evidence of clinical trial registration documentation, where applicable; and
  - 13.4. conflict of interest declarations.
14. The Executive Author must ensure that authorship is offered to all individuals who meet the authorship criteria outlined in Clause 2.
- 14.1. Those offered authorship must accept or decline in writing, and the signed consent must be retained by the Executive Author, subject to Sub-Clause 11.2.
  - 14.2. The reason for excluding any person who meets the criteria for authorship should be recorded to assist with any query.
  - 14.3. A brief description of the individual's contribution to the work should be included with written notice in Clause 14.1.
15. The Executive Author must ensure that proper acknowledgement is given to other contributors who do not meet the authorship criteria.
- 15.1. The signed consent of any individual who will be named in the acknowledgements of the publication must be obtained, subject to Sub-Clause 11.2.
16. It is advisable that the following records be retained by each author:
- 16.1. the principles for determining the author list, consistent with the author's contribution to the research project and final manuscript and any discipline/publisher requirements;
  - 16.2. a proposed authorship list including justification for any changes to this order (authors may wish to explain the authorship list rationale in a footnote within their publication);
  - 16.3. a description of each author's contribution to the publication consistent with the author's position in the authorship list (some publishers require this); and
  - 16.4. useful notes to assist with any queries.
17. Authors should have access to the study data that support the publication.
18. Authors must ensure that publications are based on research findings that are substantially different to research findings previously published, and when submitting to different publishers, unless disclosed at the time of submission.
- 18.1. Authors must obtain permission from the original publisher when republishing research findings.
  - 18.2. Exceptions include review articles, anthologies, collections or translations into other languages.
19. Authors must declare any perceived or real conflicts of interest, especially in relation to commercial support or sponsorship of research, as set out in the *Conflict of Interest Policy*.
20. Prior to the publication of the final version of the manuscript, authors of jointly-authored publications must approve the final version of the manuscript to be published, and sign an Authorship Declaration form as attached to this policy. Alternative forms meeting the requirements of the *Code* are acceptable.
- 20.1. If there are legitimate reservations regarding critical parts of the manuscript, held by one or more of the researchers, the matter should be resolved, as outlined in the *Authorship Attribution and Dispute Resolution Procedure*, if the manuscript is to be published.
  - 20.2. If an author is deceased or cannot be contacted despite reasonable efforts to do so, publication can proceed if there is no ground to believe the person would have objected to being included as an author, subject to the other authors taking responsibility for the publication.

### **Publishing with Research Students**

21. When publishing with research students, the journal's conventions should be adhered to, in accordance with Sub-Clause 16.1 and subject to Sub-Clause 20.2.
22. Supervisors of any research student should only be attributed authorship if they meet the authorship criteria, as outlined in Clause 2. The supervisory role is not an automatic right to authorship.
23. It is expected that any authorship agreement between Supervisor/s and research students be adhered to, even after the research student's conferral, unless otherwise agreed in writing.

### **Acknowledgements**

24. Authors must fairly acknowledge other contributions to research, facilities or materials that do not meet the criteria for authorship in the publication. Non-author contributors who can be acknowledged are listed in Clauses 8.3 to 8.6.
  - 24.1. Non-author contributors may be acknowledged as individuals or as a group under a single heading (e.g. Clinical Investigators or Participating Investigators).
  - 24.2. Non-author contributions should be specified (e.g. served as scientific advisors, critically reviewed the study proposal, collected data, provided and cared for study patients, participated in the writing or technical editing of the manuscript).
  - 24.3. If a contributor is to be named in the acknowledgements, their written consent must be obtained, subject to Sub-Clause 11.2, as acknowledgement may imply endorsement of the publication's data and conclusions.
25. Murdoch University researchers are obliged to attribute Murdoch University as the primary affiliation in the byline on any research publication that involved research:
  - 25.1. conducted at the University even if the work is published after the researcher has subsequently left the University;
  - 25.2. using Murdoch University resources and/or facilities; or
  - 25.3. utilising funds that have been directed through Murdoch University.
26. Where appropriate, the name of the research centre/institution or research group should be included as an additional affiliation but not in place of 'Murdoch University'.
27. Funding bodies must be acknowledged in accordance with the requirements of the relevant funding agreement.

### **Recordkeeping**

28. The Executive Author must ensure that all authorship records are kept in accordance with the *Recordkeeping Policy*.
  - 28.1. If the Executive Author leaves Murdoch University before the manuscript is published, all records must be transferred to the immediate line manager or new Executive Author.
29. Following the publication of the manuscript, the Executive Author must upload the publication and the signed Authorship Declaration form, or alternative, to the University's research management system.

### **Appeals and Complaints**

30. Disputes regarding authorship can include disagreements about the inclusion or exclusion of authors, authorship order, interpretation of data or content of manuscript/publication.
31. Disputes regarding authorship shall be handled in accordance with the *Authorship Attribution and Dispute Resolution Procedure*.
32. Disputes involving co-authors from other institutions are to be handled by the institution of the Executive Author.

**Supporting Procedures:**

The Director, Research and Innovation, is authorised to approve all the supporting procedures.

**Supporting Guidelines:**

There are no supporting guidelines.

**Supporting Standards:**

There are no supporting standards.

**Performance Indicators:**

1. Authorship attribution disputes are reduced when the Authorship Declaration form is used.

**Definitions:**

**The definition of these terms appears in the "Dictionary of Terms". Please refer to the "Dictionary of Terms" in Policy and Procedure Manager™ to ensure you are referring to the latest version.**

There are no key terms.

**Related Documents:****International**

International Committee of Medical Journal Editors. 2009. *Uniform Requirements For Manuscripts Submitted To Biomedical Journals*. <http://www.icmje.org/>.

**State and National**

National Health and Medical Research Council, Australian Research Council, and Universities Australia. 2007. *Australian Code for the Responsible Conduct of Research*. Canberra, ACT: Australian Government.

**Murdoch University**

[Conflict of Interest Policy](#)

[Recordkeeping Policy](#)

[Responsible Conduct of Research Policy](#)

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#### **Approval and Implementation:**

<b>Approval Authority:</b>	Academic Council
<b>Responsible Officer(s):</b>	Manager, Research Ethics and Integrity

#### **Revision History:**

<b>Version</b>	<b>Date Approved</b>	<b>Effective Date (if later than 'Date Approved')</b>	<b>Next Review Date</b>	<b>Resolution No. (if applicable)</b>
Administrative amendments	08/03/2019			
Approved	28/01/2015		28/01/2018	AC/09/2015(i)
Rescinded AC/182/2012	28/01/2015			AC/09/2015(ii)
Recommended to AC by RDC	12/11/2014			RDC/11/2014(ii)(x)
Approved	21/11/2012		21/11/2015	AC/182/2012