# AUTHORSHIP STATEMENT

## 1. [Details](#Sch_A) of publication and executive author

|  |  |  |
| --- | --- | --- |
| Title of Publication | | Publication details |
| NeuralBO: A black-box optimization algorithm using deep neural networks | | Published in Neurocomputing journal, [volume 559](https://www.sciencedirect.com/journal/neurocomputing/vol/559/suppl/C), page 126776, 28 November 2023 |
| Name of executive author | School/Institute/Division if based at Deakin; Organisation and address if non-Deakin | Email or phone |
| **Dat Phan Trong** | **Applied Artificial Intelligence Institute** | **trongp@deakin.edu.au** |

## 2. Inclusion of publication in a thesis

|  |  |  |
| --- | --- | --- |
| Is it intended to include this publication in a higher degree by research (HDR) thesis? | Yes | If Yes, please complete Section 3  If No, go straight to Section 4. |

## 3. HDR thesis author’s declaration

|  |  |  |  |
| --- | --- | --- | --- |
| Name of HDR thesis author if different from above. (If the same, write “as above”) | School/Institute/Division if based at Deakin | | Thesis title |
| As above | **Applied Artificial Intelligence Institute** | | Black-box Optimization using Deep Neural Networks |
| If there are multiple authors, give a full description of HDR thesis author’s contribution to the publication (for example, how much did you contribute to the conception of the project, the design of methodology or experimental protocol, data collection, analysis, drafting the manuscript, revising it critically for important intellectual content, etc.) | | | |
| The project was conceived from discussion between all authors. I developed the algorithm, proofs, and code with the assistance of my supervisors, Prof. Sunil Gupta and Dr. Hung-The Tran. I ran the experiments and wrote the paper, which was proofread and edited by all authors | | | |
| *I declare that the above is an accurate description of my contribution to this paper, and the contributions of other authors are as described below.* | | Signature and date |  |

## 4. Description of all author contributions

|  |  |
| --- | --- |
| Name and affiliation of author | Contribution(s) (for example, conception of the project, design of methodology or experimental protocol, data collection, analysis, drafting the manuscript, revising it critically for important intellectual content, etc.) |
| Dat Phan Trong | Contributed to conception, algorithms, design of methodology, code, mathematical proofs, design and implementation of experiments, drafting the manuscript, and proofreading. |
| Hung-The Tran | Assisted with conception, design of methodology, mathematical proofs, and proofreading. |
| Sunil Gupta | Assisted with conception, design of methodology, mathematical proofs, , and proofreading. |

**5. Author Declarations**

*I agree to be named as one of the authors of this work, and confirm:*

1. *that I have met the authorship criteria set out in the Deakin University Research Conduct Policy,*
2. *that there are no other authors according to these criteria,*
3. *that the description in Section 4 of my contribution(s) to this publication is accurate,*
4. *that the data on which these findings are based are stored as set out in Section 7 below.*

*If this work is to form part of an HDR thesis as described in Sections 2 and 3, I further*

1. *consent to the incorporation of the publication into the candidate’s HDR thesis submitted to Deakin University and, if the higher degree is awarded, the subsequent publication of the thesis by the university (subject to relevant Copyright provisions).*

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| --- | --- | --- |
| Name of author | Signature\* | Date |
| Dat Phan Trong |  |  |
| Hung-The Tran |  |  |
| Sunil Gupta |  |  |
|  |  |  |

**6. Other contributor declarations**

*I agree to be named as a non-author contributor to this work.*

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| Name and affiliation of contributor | Contribution | Signature\* and date |
| N/A |  |  |
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**\*** If an author or contributor is unavailable or otherwise unable to sign the statement of authorship, the Head of Academic Unit may sign on their behalf, noting the reason for their unavailability, provided there is no evidence to suggest that the person would object to being named as author

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