

Authorship Procedure



1 Purpose

To establish the process by which authorship is assigned and managed at the University.

2 Scope

This procedure applies to all University Research Outputs and Research Activities.

This procedure should also be read in conjunction with the University's Authorship Policy, the Research Code of Conduct Policy, the Intellectual Property Policy and Procedure, and the University's Statement on Peer Review.

3 Procedure Overview

This procedure outlines the University's process for the management and allocation of authorship rights for Research Workers in conjunction with the Australian Code for the Responsible Conduct of Research and the Research Code of Conduct Policy.

4 Procedures

4.1 Authorship criteria

4.1.1 Attribution of authorship

A Research Worker qualifies as an author if they have made a significant intellectual or scholarly contribution through at least one, but often more than one, of the following:

- conception and design of the research described in the Research Output;
- acquisition of research data, where the acquisition has required significant intellectual judgement or input;
- analysis and interpretation of research data;
- drafting of the Research Output or redrafting the Research Output so as to critically change or substantially advance the interpretation.

A Research Worker does not qualify as an author if they have not made a significant intellectual

or scholarly contribution to the Research Output, or is unwilling to take responsibility for their contribution. Contributions outlined below are generally not considered to meet the criteria for authorship attribution:

- provision of funding; and/or
- provision of technical support, technical advice or technical assistance; and/or
- a Research Worker's position (e.g. Head of School, or supervisor of a research Student); and/or
- a gift; and/or
- the provision of materials, infrastructure, or access to equipment.

4.1.2 Acknowledgement of contribution

Contributions to the Research Output that do not meet the author status criteria described in Section 4.1.1. 'Attribution of authorship' must be properly recognised by acknowledgement, where this is appropriate for the type of Research Output. This may include contributions made by other Research Workers, funding bodies and/or organisations.

4.1.3 Author inclusion/exclusion

A Research Worker who qualifies as an author must not be included or excluded without their written agreement, and a record of this agreement must be kept of this agreement by the author/s.

A written agreement for exclusion is not required where supervisors of Student researchers are not typically included as authors on Research Outputs by Student researchers in accordance with conventions of authorship the relevant field of research.

4.1.4 Record of authorship

Research Workers have a responsibility to discuss authorship between potential co-authors and contributors to Research Outputs at the beginning of the research and as soon as collaborative circumstances or the research changes.

A record of authorship agreement is to include, but is not limited to:

- anticipated title of the scholarly work;
- outlet (e.g. journal name, publisher, conference or other medium);
- anticipated date of submission to the outlet; and

- name and order of authors, author role and contribution percentage to the overall Research Output.

Research Workers are encouraged to use the Statement of Authorship and Location of Data Form and retain a copy for their own record. The record of authorship agreement may also be informally captured through email or letters.

4.2 Author responsibilities

Researcher Workers should be fully aware of the requirements and responsibilities of authorship as outlined in the University's Authorship Policy and the Australian Code for the Responsible Conduct of Research.

In accepting an authorship, the author takes responsibility for, and attests to the integrity and accuracy of, at least that part of the research to which they contributed.

All authors have a responsibility to:

- properly recognise all contributions to the Research Output, regardless of the Research Worker's position or role or any subsequent change in their position or role;
- properly recognise the contribution of Student researchers in Research Outputs; and
- respond to communications about the Research Output throughout all stages (including drafting, submission and finalisation) in a timely manner.

4.3 Order of authors

Where there is more than one author of a Research Output, the authors should discuss and reach agreement on the order in which the authors appear in accordance with the established norms for the relevant field of research.

4.3.1 Senior author

Where the established norms for the relevant field of research dictate, and there is more than one author of a Research Output, a senior author (or authors) must be identified. In addition to fulfilling the criteria for authorship, the senior author's role is normally to have overseen the research and to attest to the integrity and accuracy of the research as a whole.

4.3.2 Corresponding author

Where there is more than one author of a Research Output, at least one co-author, by agreement amongst the authors, should be nominated as the corresponding author in

accordance with this procedure and established norms for the relevant field of research. The corresponding author is responsible for communication between the publishers and managing communication between the co-authors. The corresponding author must maintain records of authorship agreement (refer section 4.1.4). Where the corresponding author is not a Research Worker, authors should keep their own records.

4.4 Authorship disputes

Where a dispute arises between authors, it is to be resolved in accordance with the Authorship Dispute Resolution Procedure.

4.5 Plagiarism

Allegations of Plagiarism (including author exclusion) will be resolved in accordance with the Research Code of Conduct: Management of Potential Breaches Procedure.

5 References

Australian Government. (2007). *Australian Code for the Responsible Conduct of Research*.

6 Schedules

This procedure must be read in conjunction with its subordinate schedules as provided in the table below.

7 Procedure Information

Subordinate Schedules	
Accountable Officer	Deputy Vice-Chancellor (Research and Innovation)
Responsible Officer	Deputy Vice-Chancellor (Research and Innovation)
Policy Type	University Procedure
Approved Date	24/7/2015
Effective Date	24/7/2015
Review Date	24/7/2018
Relevant Legislation	Australian Code for the Responsible Conduct of Research
Related Policies	Authorship Policy

	<p>Intellectual Property Policy and Procedure</p> <p>Records and Information Management Policy</p> <p>Research Code of Conduct Policy</p>
Related Procedures	<p>Authorship Dispute Resolution Procedure</p> <p>Research Code of Conduct: Management of Potential Breaches Procedure</p>
Related forms, publications and websites	<p>Statement of Authorship and Location of Data Form (under development)</p> <p>University Statement on Peer Review</p>
Definitions	<p>Terms defined in the Definitions Dictionary</p> <p>Employee</p> <p>A person employed by the University and whose conditions of employment are covered by the USQ Enterprise Agreement and includes persons employed on a continuing, fixed term or casual basis. Employees also include senior Employees whose conditions of employment are covered by a written agreement or contract with the University.</p> <p>Head of School/College</p> <p>An academic staff member responsible for the administration of the Course offerings in one or more discipline areas.</p> <p>Plagiarism</p> <p>An attempt to obtain undeserved advantage by taking and using any person's ideas and/or manner of expressing them in order to pass them off as one's own original work by failing to give appropriate acknowledgement. This includes material from any source - published and unpublished works - as well as one's own work used for another purpose (i.e. Assessment Item, publication etc.).</p> <p>Research Activities</p> <p>Refers to activities that result in the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.</p>

Research Output

A publication, report or creative output, including but not limited to: journal articles, conference contributions, chapters, reports, books, performances, artefacts, patents/trademarks, exhibitions, scholarly edition, software, compositions, internet publications, design, presentations, grant applications, etc.

Research Worker

Any person/s involved in Research Activities at, or on behalf of the University. This includes, but is not limited to Employees, Students, visiting scholars, research partners, research affiliates, holders of Honorary or Adjunct positions and research ethics committee members.

Student

A person who: has been Admitted or Enrolled in an Academic Program at the University, but has not yet graduated from the program; or has been Enrolled in a Course at the University but has not yet completed the Course.

University

The term 'University' or 'USQ' means the University of Southern Queensland.

Definitions that relate to this procedure only

Keywords

Record No

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