

Authorship Policy

Policy Category	Policy/guideline/procedure/rules		
Review	3 years from date of Approval		
Policy Code	ARP002		
Contacts	policy@imc.edu.au		
Version	Approval Authority	Approval Date	Commencement Date
2022.08	Academic Board	25 August 2022	25 August 2022

1. PURPOSE

The Institute supports and encourages active involvement of students and staff in research activity and recognises the significant value of research outputs. Inclusion of a researcher or research trainee as an author is a fitting recognition to making a substantial contribution to the intellectual aspects of a body of 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. The purpose of this policy is to document the acceptable and unacceptable inclusions for authorship and to provide information regarding the procedures involved in confirmation of authorship. This policy also clarifies the Institute's position regarding open access to research output.

The principles and procedures outlined in this policy are consistent with the Institute's *Code of Conduct for Research* and the *Australian Code for the Responsible Conduct of Research 2018 (Australian Code)* and should be read in conjunction with documents in the Institute's research policy framework including the *Academic Intellectual Property Policy* and the *Research Materials and Data Management Policy*.

2. SCOPE

This policy applies to all staff, including honorary staff working under the auspices of the Institute, and students who carry out research as part of their enrolment at the Institute. It includes theses and dissertations but excludes coursework units.

3. DEFINITIONS

Author means a named contributor to a scholarly work which may be published in a journal, conference proceedings or as a monograph.

Research outcome means a work that is the product of research and includes publications such as journal articles, book chapters and books or monographs.

Open access means research outputs which are made available online and worldwide, free of charge and free of most other access restrictions.

4. PROCEDURE

4.1 Principle

Responsible conduct of research includes the honest recognition and acknowledgement of contributions made to the development and production of a research outcome. Only those people who have met the

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criteria for authorship will be included as authors of a research outcome. Authorship must be assigned fairly, consistently and involve transparent communication between all authors.

4.2 Authorship Criteria

Authorship is assigned based on the contribution of persons who have made a substantial intellectual or scholarly contribution to a research outcome and who accept responsibility for that contribution and/or the work as a whole.

Authors must make a substantial contribution in respect of one or more of the following criteria:

- Conception and design of the research described in the research outcome;
- Acquisition of research data where the acquisition has required significant intellectual judgement or input;
- Analysis and interpretation of data; and/or
- Drafting the research outcome or critically revising its intellectual content.

No person who is an author, consistent with the criteria above, may be included or excluded as an author without their permission in writing.

4.3 Unacceptable inclusions

No one who has not made a significant or scholarly contribution to a research outcome or is unwilling to take responsibility for his/her contribution may be included as an author.

No person may be included as an author of a research outcome solely on the basis of:

- their position of authority or close relationship with the author;
- the acquisition of funding or provision of materials or access to equipment;
- the mere collection of data;
- general supervision of a research group; or
- provision of technical or general assistance without other intellectual input.

4.4 Acknowledgement of other contributions

Contributors who do not meet the criteria for inclusion as author, for example collectors of research data, should still be acknowledged in any research outcome derived from that research. Individuals and organisations providing facilities for the conduct of research should also be acknowledged in research outcomes.

Written consent must be obtained from all non-author contributors before publication of research outcomes. Research outcomes must disclose all sources of funding. Financial sponsorship that carries an embargo on naming a sponsor should be avoided.

Research outcomes which are substantially similar to other outcomes derived from the same research must contain appropriate references to other publications. Authors who submit substantially similar research outcomes to multiple publishers must disclose that fact to the publishers at the time of submission.

4.5 Confidentiality

Confidentiality provisions relating to publications may apply in circumstances where the researchers have made or given confidentiality undertakings to third parties or confidentiality is required to protect intellectual property rights. It is the responsibility of researchers to enquire at an early stage as to whether confidentiality provisions apply.

4.6 Confirmation of authorship

All research outcomes must have the authorship confirmed and recorded. The Institute's *Statement of Authorship Form* must be completed, signed and lodged with the Research Office. Where it is not practical to obtain an original signature, faxed or emailed consent is acceptable. These completed forms are to be located in a secure system consistent with the requirements of the *Research Materials and*

Data Management Policy. A copy of the relevant research output must also be submitted to the Institute’s Education Digital Repository.

Authors must comply with the Institute’s *Research Materials and Data Management Policy.* Researchers must declare any conflicts of interest such as sources of funding or affiliations.

Where there are multiple authors of a research outcome, one co-author by mutual agreement must be nominated as the principal author for all research outcomes for the project and as principal author must, take responsibility for record-keeping regarding the research outcomes.

4.7 Responsibilities

- The Institute is responsible for ensuring that researchers and research trainees have access to and understand the requirements of this policy.
- Researchers and research trainees are responsible for reading, understanding and meeting the requirements of this policy.
- The Research Office is responsible for ensuring that appropriate procedures are followed with regard to the completion and storage of Statement of Authorship Forms.

4.8 Public Access

All refereed, revised, final draft research outcomes must be deposited in the Institute’s Education Digital Repository after their acceptance for publication. Books or chapters in books may be self-archived at the author’s discretion. These manuscripts will be made open access, openly available on the internet, except where this is restricted by publisher embargo or other conditions that restrict open access. The publisher version will be the version made publicly available in the Institute’s Education Digital Repository where there is agreement from the publisher. Depositing the material in the Institute’s Educational Digital Repository does not transfer copyright to the Repository. Copyright remains with the author or publisher as per the publishing agreement. The Institute’s Educational Digital Repository will not alter the material except as allowed under law.

4.9 Resolving Authorship Disputes

Where a dispute arises over authorship of a research outcome an attempt should be made by the authors, research supervisor, Provost or Dean of the relevant school to find a satisfactory resolution. Where the supervisor, Provost or relevant Dean is one of the people claiming authorship, the Chair of Academic Board may be included as part of the resolution process. Where issues cannot be resolved to the satisfaction of all parties, the dispute will be referred to the Academic Board for its determination.

Allegations of research misconduct in regard to authorship will be dealt with in accordance with the *Code of Conduct for Research, Workplace Grievance Policy or Student Complaints and Appeals Policy and Procedure.*

5. RELATED DOCUMENTS

- i. Code of Conduct for Research
- ii. Research Materials and Data Management Policy
- iii. Academic Intellectual Property Policy
- iv. Workplace Grievance Policy
- v. Student Complaints and Appeals Policy and Procedure

6. VERSION CONTROL

Historical Version	Approved by	Approval Date
2019.07		17 July 2019
2013.12	Academic Board	19 December 2013