

## AUTHORSHIP POLICY

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22 January 2016

### 1. Policy Statement

ANROWS adheres to the Australian Code for the Responsible Conduct of Research, including the requirements for the attribution of authorship in research publications and recognises the “Vancouver Protocol”, widely regarded as the foremost international standard of publication ethics, and is often referred to in institutions’ authorship policy documents.

ANROWS recognises that protocol for the attribution of authorship may differ between academic disciplines. There are a number of overarching ethical principles and procedures, however, to which all researchers are expected to adhere and which are incorporated in this policy. To be named an author requires a substantial scholarly contribution to the published work.

### 2. Scope

This policy applies to all ANROWS staff and associates who are involved in the conduct of research associated with ANROWS. Each external research organisation contracted by ANROWS, through its grants program, is expected to comply with the Australian Code for the Responsible Conduct of Research (“the Code”), including having in place an authorship policy, to which its researchers adhere.

### 3. Principles

Authorship must only be assigned to those who have made a substantial scholarly contribution to a research output or published work. Author/s are responsible for the integrity of the research, including sound methodology and accurate reporting, at least for their contribution. Authorship must be:

- (i) an accurate reflection of an individual’s contribution to the research;
- (ii) assigned fairly and consistently, preferably at the commencement of the work; and
- (iii) communicated clearly and transparently between researchers.

All individuals and organisations that contributed to the research outcome (e.g. research assistants, technical writers, funding bodies, ANROWS), but are not eligible for authorship, must be properly acknowledged within the **publication**.

### 3.1 Authorship criteria

- 3.1.1 Attribution of author status may depend to some extent on a specific discipline, however, in line with the Code and the Vancouver Protocol, attribution of authorship must be based on a substantial contribution to at least two of the following three activities.
- (i) Conception and design of the research project.
  - (ii) Analysis and interpretation of research data.
  - (iii) Writing significant parts of the article or report or revising it to the extent that the content is critically changed or substantively advanced.
- 3.1.2 Authorship must not be offered solely on the following grounds:
- (i) holding a position of authority (e.g. manager/supervisor);
  - (ii) acquiring research funding;
  - (iii) providing routine support/assistance in some aspects of the project; or
  - (iv) providing a technical contribution, data that has already been published or material obtained for a third party, without having made a substantial contribution to the research project or publication.
- 3.1.3 Each author must be able to take public responsibility for their contribution to the work.
- 3.1.4 Publication may not proceed if any of the authors have legitimate reservations concerning the theory, data or its interpretation underpinning critical parts of the work.

## 4. Procedures

### 4.1 Authorship protocols

- 4.1.1 In circumstances where there is more than one author, one must be appointed as a **corresponding author** to record authorship and manage communication about the work with the publisher.
- 4.1.2 Any person who qualifies as an author must be included or excluded only with prior permission in **writing**.
- 4.1.3 As the accepted practice for the order of author names on a publication varies between disciplines, that order should be determined, recorded and reviewed in conjunction with any other decisions about authorship. Authors should be prepared to explain the listing order, if required.
- 4.1.4 Where individuals who contributed to the research outcome are to be acknowledged within the publication (e.g. research assistants, technical writers), their **written consent** must be obtained, where practicable.

- 4.1.5 As an acknowledgement of the institutional contribution to the delivery of research outcomes, where appropriate authors must cite their institutional affiliation or affiliations in any publication.
- 4.1.6 An **Authorship Declaration** must be completed by the author of a publication or, where there are multiple authors, by the corresponding author. This must be done before the publication is presented in a public forum.
- 4.1.7 All authors must declare any real or perceived conflicts of interest relating to their research project, if and when they become apparent.

***Responsibility: Researchers should***

- (i) At an early stage of the project, discuss authorship with all other researchers involved and agree on authorship for particular outputs/publications, and review whenever there are changes in participation (personnel and/or tasks).
- (ii) Collectively determine the order of authorship for each output.
- (iii) Appoint a corresponding author.

***Responsibility: Corresponding author should***

- (i) Ensure authorship is offered to all people who meet the authorship criteria above. Those offered authorship must accept or decline in **written** within 30 days.
- (ii) Obtain from each person offered authorship **written** notice of acceptance or decline within 30 days of the offer and if a potential author fails to respond in 30 days, the corresponding author must keep a record of decisions made on behalf of the authors.
- (iii) Acknowledge all individuals and organisations that contributed to the research outcome, (e.g. research assistants, funders, etc.), having obtained their **written** consent, where practicable.
- (iv) Complete an **Authorship Declaration** each time a manuscript is to be submitted for publication. Ensure that all authors have approved the version to be published, unless circumstances make it impossible (e.g. due to death or reasonable efforts have failed to establish contact). In such circumstances, publication may proceed if there are no grounds to believe the relevant person/s would have objected to being included as an author, or to the place or type of publication.

## 4.2 Dispute Resolution

On occasions, disputes over authorship may arise. Where researchers are unable to reach mutual agreement on an authorship issue, the following procedures apply:

- 4.2.1 Any person involved in the dispute may seek advice from the ANROWS Research Manager (or the CEO, if the Research Manager is involved in the dispute).
- 4.2.2 Continuing disputes over authorship are to be referred for attempted resolution to the manager of the corresponding author, or the ANROWS CEO if the manager of the corresponding author is involved in the dispute.

- 4.2.3 Disputes involving co-authors from other institutions are to be handled by the institution of the corresponding author in consultation with ANROWS.
- 4.2.4 If the dispute remains unresolved within 30 days of referral under clause 4.2.2, it will be referred to the CEO for determination. The CEO may engage an external arbitrator or mediator to assist in resolving the dispute; however, the final decision remains with ANROWS.
- 4.2.5 Outcomes from the dispute process may include the following :
- (i) agreement is reached by all valid authors (as defined in Principle 3.1);
  - (ii) individuals who do not meet the authorship criteria but wish to be treated as authors will not be included as authors of the publication, but may have their contributions acknowledged in an agreed way the publication;
  - (iii) where valid authors cannot agree on content, the publication may be divided in such a way that some sections can be published separately, or not published at all; or
  - (iv) where disputes concerning publications arise over matters not directly related to the inclusion or exclusion of an author, content or interpretation of data, a reasonable decision may be made that permits the paper to be published and the dispute to be suitably acknowledged.
- 4.2.6 Proceeding to publication without agreement or formal determination of authorship may be considered a **breach** of the Code but may not constitute **research misconduct** under ANROW's policy.

***Responsibility:*** Authors

- (i) Attempt resolution of authorship disputes.

***Responsibility:*** Research Manager

- (i) Where it has not been possible to resolve authorship disputes at the research management level, refer to the CEO for resolution.

***Responsibility:*** Chief Executive Officer (CEO)

- (i) Consider assistance from an external arbitrator or mediator and/or make a determination on authorship, taking into account submissions from all parties involved in the dispute in the context of this policy.

#### 4. DEFINITIONS

**Authorship Declaration** is written confirmation that a person who meets the criteria for authorship accepts or declines the offer to be listed as an author on a publication.

The **Corresponding Author** (sometimes referred to as the “executive author”) is a specified co-author of a publication, determined by agreement amongst the authors, who takes formal responsibility for the integrity of the work as a whole, is a point of contact for all correspondence related to the publication, and maintains relevant records.

A **Publication** is the formal dissemination of research findings in a public forum, including in hardcopy, electronic, web-based or other tangible formats. It includes refereed and non-refereed books and journals, web-pages, conference presentations, creative works, formal reports, and technical papers.

**Written consent/writing** includes original hand-written signatures, emails, fax, scanned documents or electronic identification as appropriate.

A **Breach of the Code** involves an act or omission in contravention of the Australian Code for the Responsible Conduct of Research, but which does not carry the seriousness of consequence or wilfulness to constitute research misconduct. Repeated or continuing breaches of the Code, however, may constitute Research Misconduct.

**Research Misconduct** means fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting the results of research, failure to declare or manage a serious conflict of interest, and avoidable failure to follow research proposals as approved by a research ethics committee, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment. It also includes the wilful concealment or facilitation of research misconduct by others. Research misconduct is addressed in ANROWS's Code of Conduct of Staff and Associates.