



Authorship of Research Policy

Responsible Officer	Deputy Vice Chancellor (Research)
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Relevant Legislation, Ordinance, Rule and/or Governance Level Principle	<i>Ordinance 9 – Student Discipline</i> <i>Ordinance 83 – Research College Board</i> <i>Ordinance 18 – Intellectual Property</i> Governance Level Principle 12 – Academic Standards
Responsible Organisational Unit	Office of Research Services

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1 Objective

The objectives of the Authorship of Research Policy are to:

- clarify the criteria for the attribution of authorship for research outputs involving staff and students of the University of Tasmania
- ensure that authorship is confirmed and agreed upon prior to submission for publication
- ensure that researchers appropriately attribute research outputs to the University of Tasmania.

2 Scope

All staff, students, visiting fellows and scholars, and persons holding discretionary titles of the University of Tasmania, who are involved in the conduct of research associated with the University.

3 Policy Provisions

3.1 Attribution of Authorship

Authorship must be based on substantial scholarly contributions to the research output through a combination of:

- conception and design of the project
- analysis and interpretation of research data
- drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

The right to authorship is not tied to a position or profession, and is not justified by any of the following contributions in and of themselves:

- being Head of Academic Unit or holding other positions of authority
- providing technical contribution without other intellectual input
- acquiring funding

or

- providing general supervision of the research team.

A supervisor of a Higher Degree Research (HDR) candidate has the right to become co-author of any research output from the HDR candidate's supervised work if the supervisor has participated in the research in a way that meets the above authorship criteria.

Researchers must offer authorship to all people, including research trainees, who meet the criteria for authorship. Those offered authorship must accept or decline in writing.

3.2 Multiple Authors

Collaborating researchers should agree on authorship of a publication at an early stage in the research project and should review this agreement periodically throughout the duration of the project.

Where there is more than one author of a research output, the following items must be agreed upon prior to the preparation of the research output:

- the authorship of the research output
- the order of authors' names in the authorship list and the justification for this order (if the research output is within a discipline where authorship order has significance)
- the appointment of a corresponding author to take responsibility for maintaining authorship agreements and managing all correspondence about the research output.

3.3 Authorship Agreement

All authors of all research outputs must provide written acknowledgement of authorship prior to submission of the research output.

The documentation for acknowledging authorship may take various forms, including the UTAS Authorship Agreement form, a journal's author agreement form, or email correspondence between authors, providing that the authorship documentation specifies that:

- the signatories are the only qualified authors
- the order of authors' names in the authorship list on the research output is acceptable to all authors
- all authors agree that they have met the criteria for authorship attribution as detailed in Section 3.1
- all individuals being acknowledged by name have provided their written consent
- all authors have approved of the manuscript or research output that will be submitted for publication
- all authors agree that they are responsible for the content of the research output.

Whenever possible, the authorship documentation should include original hand-written signatures. Where it is not practical to obtain an original signature, it is acceptable to use faxed or emailed consent.

If an author is deceased or cannot be contacted, the publication of the research output can proceed provided that there are no grounds to believe that this person would have objected to being included as an author.

The authorship documentation must be managed in accordance with the processes outlined in the *Authorship of Research Procedures*.

3.4 Acknowledgements

All individuals who have contributed to the research, facilities or materials, but whose contribution does not meet the criteria for authorship attribution as detailed in Section 3.1, must be properly acknowledged in the resulting research output(s).

Where individuals are to be named, their written consent must be obtained.

If an author is deceased or cannot be contacted, the publication of research output can proceed provided that there are no grounds to believe that this person would have objected to being acknowledged.

3.5 University Affiliation

The University of Tasmania must be attributed as an institution of affiliation for all research outputs that have resulted from work conducted by University staff and students, and by joint, conjoint, and adjunct appointments, if either of the following conditions apply:

- the research leading to the research output has involved using resources and/or facilities of the University of Tasmania

or

- the funds for the research have been directed through the University of Tasmania.

The above criteria may apply even if the author has subsequently left the University, provided that at least one of the above conditions are met.

3.6 Resolution of Authorship Disputes

Disputes concerning authorship should be resolved through the processes outlined in the *Authorship of Research Procedures*.

4. Definitions and Acronyms

HDR	Higher Degree Research
Organisational Unit	College, Academic Unit (Faculty, School, Centre, University Institute), other University Entity, Division, Section or University Business Enterprise.
Research output	Any research publication that the University reports in the annual Higher Education Research Data Collection (HERDC) or for the purposes of the Excellence in Research for Australia (ERA) evaluations including: books, journal articles, book chapters, conference papers, original creative works, performances, recorded performances and exhibitions.

5. Supporting Documentation

- Authorship of Research Procedures
- Freedom of Inquiry and the Responsibility to Publish Policy
- Freedom of Inquiry and the Responsibility to Publish Procedures
- Managing Allegations of Research Misconduct Policy (under development)
- Managing Allegations of Research Misconduct Procedures
- Responsible Conduct of Research Policy
- University of Tasmania Academic Staff Agreement
- *Australian Code for the Responsible Conduct of Research* (National Health and Medical Research Council, Australian Research Council, Universities Australia, 2007).

6 Versioning

Former Version	Version 1 – Authorship of Research Policy; approved 21 August, 2013, amended in December 2016 to incorporate Colleges.
Current Version	Version 2 – <i>Authorship of Research Policy</i> ; approved 21 August 2013, amended in December 2017 to reflect College structure and nomenclature.