Authorship of Research Procedure

<table>
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<th>Related Policy</th>
<th>Authorship of Research Policy</th>
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<tr>
<td>Responsible Officer</td>
<td>Deputy Vice-Chancellor (Research)</td>
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<tr>
<td>Approved by</td>
<td>Deputy Vice-Chancellor (Research)</td>
</tr>
<tr>
<td>Approved and commenced</td>
<td>August, 2013</td>
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<tr>
<td>Review by</td>
<td>August, 2017</td>
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<tr>
<td>Responsible Organisational Unit</td>
<td>Office of Research Services</td>
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CONTENTS

1 Objective .................................................................................................................... 2
2 Scope ......................................................................................................................... 2
3 Procedure .................................................................................................................. 2
3.1 Responsibilities of Collaborating Authors .............................................................. 2
3.2 Management of Authorship Agreements .................................................................... 2
3.3 Attribution of University Affiliation ................................................................. 3
3.4 Resolution of Authorship Disputes ...................................................................... 3
3.4.1 Authorship disputes occurring before publication .......................................... 3
3.4.2 Authorship disputes occurring after publication .............................................. 4
3.5 Authorship disputes and research misconduct .................................................... 4
4 Definitions and Acronyms ......................................................................................... 5
5 Supporting Documentation ......................................................................................... 5
6 Versioning .................................................................................................................. 6
Attachment A: Authorship Agreement Form .................................................................. 7
Attachment B: Authorship dispute process (before publication) .................................. 7
Attachment C: Authorship dispute process (after publication) .................................... 7
1 Objective

This document establishes the procedure to implement the Authorship of Research Policy.

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 Procedure

3.1 Responsibilities of Collaborating Authors

Where there is more than one author of a research output, collaborating authors will agree on authorship of a publication at an early stage and should review this agreement periodically.

Collaborating authors will designate a corresponding author to manage authorship and all communication about the research output.

The corresponding author will:

- ensure that authorship has been offered to all individuals, including research trainees and students, who meet the authorship criteria stipulated in the Authorship of Research Policy
- manage and retain all correspondence between co-authors relating to authorship confirmation and the order of authorship
- confirm that all authors approve of the manuscript or other research output that will be submitted
- manage communication about the research output with the publisher/venue/facilitator.

If the corresponding author is based at another institution, co-authors affiliated with the University of Tasmania will designate one University of Tasmania co-author as a University responsible author. The University responsible author will ensure, to the best of their ability, that the corresponding author fulfils the above responsibilities.

3.2 Management of Authorship Agreements

All authors of all research outputs will confirm authorship and order of authorship by providing written acknowledgement of authorship to the corresponding or responsible author (see Section 3.1) prior to submission of the research output. The UTAS Authorship Agreement Form (Attachment A) may be used, or equivalent correspondence may be used providing that all of the following information is specified:

- the signatories are the only qualified authors
- the order of authors’ names in the authorship list on the research output is agreed by all authors
• all authors agree that they have met the criteria for authorship attribution as detailed in the Authorship of Research Policy
• 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.

UTAS authors will retain a copy of all documentation used for acknowledging authorship for their own records. Upon acceptance of the relevant research output, authors will store an electronic copy of the authorship documentation in the Web Access Research Portal (WARP) along with the relevant research output.

3.3 Attribution of University Affiliation

Authors affiliated with the University of Tasmania will record ‘University of Tasmania’ in full as the institution of affiliation for all research outputs. Authors who wish to list other affiliations (for example, Academic Unit or section) will list these affiliations in addition to, but not in place of, ‘University of Tasmania’.

3.4 Resolution of Authorship Disputes

The following processes are summarised in the flowcharts provided in Attachments B and C at the end of these procedures.

3.4.1 Authorship disputes occurring before publication

Authors may consult with a Research Integrity Advisor at any time for informal advice on disciplinary practices in relation to the authorship of research outputs.

If a dispute arises between co-authors over the inclusion, exclusion or order of potential authors, authors will first attempt to resolve the dispute and reach an agreement through direct dialogue with each other.

Where the dispute cannot be resolved and it involves co-authors from other institutions, the dispute should be managed by the institution of the corresponding author or as agreed by the co-authors. UTAS co-authors are encouraged to seek support from their Head of Academic Unit in the event that the dispute resolution is being managed by another institution.

Where the dispute cannot be resolved and it involves co-authors who are all affiliated with the University of Tasmania, the co-authors will refer the dispute to their Head(s) of Academic Unit.

The Head of Academic Unit will attempt to resolve the conflict at the local level. If the dispute cannot be resolved, or if Head of Academic Unit has a conflict of interest with the dispute, the Head of Academic Unit will refer the author(s) to the College Executive Dean.

The Executive Dean will attempt to resolve the dispute by agreement. If the dispute cannot be resolved in this way, the dispute will be referred in writing to the Deputy Vice-Chancellor (Research) or a nominated delegate (research.integrity@utas.edu.au).
If the dispute occurs outside of Faculty/University Institute structures the matter will be referred in writing to the DVCR (or a nominated delegate) in the first instance (research.integrity@utas.edu.au).

To assist the Deputy Vice-Chancellor (Research), author(s) may be required to provide the following information:

- a copy of the documentation used for acknowledging authorship
- copies of any key documentation to show how each of the authors have:
  - met the criteria for authorship attribution as detailed in the Authorship of Research Policy
  - given final approval of the version to be published
- a list of all authors believed to be valid authors, and why

and/or

- a list of all individuals believed to have contributed to the paper and who should be fully acknowledged, and why.

In making a resolution, the Deputy Vice-Chancellor (Research) will review the relevant material, seek advice from an independent person with expertise in the area (as required), and make a determination.

Possible outcomes may include:

- removing individuals who were deemed not to have met the authorship criteria as set out in the Authorship of Research Policy and acknowledging their contributions, if appropriate
- including all individuals who were deemed to have met the authorship criteria as articulated in the Authorship of Research Policy
- revising the order of authorship on the publication.

The research output may only be published when all valid authors agree on authorship of the publication.

3.4.2 Authorship disputes occurring after publication

Where an individual has concerns about the authorship of an existing publication, the individual will refer the authorship dispute in writing to the Deputy Vice-Chancellor (Research) or nominated delegate (research.integrity@utas.edu.au). The Deputy Vice-Chancellor (Research) will consider the matter and may determine to proceed under Section 3.4 of these procedures, or to invoke the Managing Allegations of Research Misconduct Procedure.

3.5 Authorship disputes and research misconduct

An authorship dispute does not constitute an allegation of research misconduct unless it is alleged that there has been an intentional and reckless breach of the University’s Authorship of Research Policy and the Australian Code for the Responsible Conduct of Research.

Research misconduct includes intentional and misleading ascription of authorship such as the inappropriate omission or inclusion of authors.
Authors who wish to make an allegation of research misconduct in relation to the authorship dispute will follow the University’s *Managing Allegations of Research Misconduct Procedure*.

### 4 Definitions and Acronyms

<table>
<thead>
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<th>Term/Acronym</th>
<th>Definition</th>
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<tr>
<td>Academic Unit</td>
<td>Means the secondary organisational unit in the academic structure of the University, reporting directly to the College Executive Deans, as per Ordinance 14 – Academic Structure.</td>
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| College            | Means (a) the primary organisational unit in the academic structure of the University, as per Ordinance 14 – Academic Structure  
                      (b) the University College  
                      (c)                                                                               |
| Executive Dean     | Means: (a) the Executive Dean of the relevant College, or  
                      (b) in relation to the University College, the Principal of the University College |
| Head of Academic Unit | Means the head of the relevant Academic Unit                                           |
| Organisational Unit | College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.          |
| Research Output    | Any research publication that UTAS 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. |
| UTAS               | University of Tasmania.                                                                |
| WARP               | Web Access Research Portal.                                                            |

### 5 Supporting Documentation

- Authorship of Research Policy
- Freedom of Inquiry and the Responsibility to Publish Policy
- Freedom of Inquiry and the Responsibility to Publish Procedure
- Managing Allegations of Research Misconduct Procedures
- Responsible Conduct of Research Policy
- University of Tasmania Staff Agreement 2013-2016
6 Versioning

Version 2 – *Authorship of Research Procedure*; minor amendments to clarify procedure approved by Responsible Officer; September 2014 |
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<tr>
<td>Current Version</td>
<td>Version 3 – <em>Authorship of Research Procedure</em>; approved September 2014, amended in December 2017 to reflect College structure and nomenclature.</td>
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An electronic copy of this form (or equivalent documentation containing the same information) and any supporting material must be uploaded into the Publication Entry System (PES) for storage in the Web Access Research Portal (WARP), along with the relevant publication.

The criterion for authorship attribution is clearly defined in the University’s Authorship of Research Policy. This policy states that 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.

According to this definition, the author(s) of the research output titled:

(enter title of book / book chapter / journal article / conference abstract / other publication)

submitted / resubmitted to: ____________________________

(enter name of journal / publisher / conference / other medium)

on: __________________________________________________

(enter submission date)

is/are the undersigned, and there are no other qualified authors (unless written permission has been obtained from a qualified author to be excluded from the authorship list). All authors agree that they have met the above criteria for authorship and are satisfied with the order in which the authors’ names appear in the research output. All authors agree that they are responsible for the content of the research output and approve of the version that will be / was submitted for publication.

All individuals acknowledged by name have provided their written consent in the location provided below (if applicable).
**Declaration of Authorship**

<table>
<thead>
<tr>
<th>Name of Author</th>
<th>University Affiliation(s)</th>
<th>Signature of Author</th>
<th>Date</th>
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*(insert additional rows as necessary)*

**Consent to be acknowledged by name** (if applicable)

I consent to having my name listed in the acknowledgements section of the above research output:

<table>
<thead>
<tr>
<th>Name of person being acknowledged</th>
<th>Signature of person being acknowledged</th>
<th>Date</th>
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*(insert additional rows as necessary)*
Attachment B: Authorship dispute process (before publication)

Dispute occurs between researchers (internal/external) over the inclusion, exclusion or order of potential authors on a future publication.

Researchers attempt to resolve dispute through direct dialogue with each other. (Timeline = 10 business days)

If the dispute is unresolved and involves co-authors who are all affiliated with the University:

Co-authors refer disputes to relevant Head(s) of Academic Unit. Head(s) of School attempt to resolve conflict. (Timeline = 10 business days)

If the dispute is unresolved and involves co-authors from other institutions:

Disputes that cannot be resolved by the Head of School are referred to the relevant Executive Dean. The Executive Dean attempt to resolve the dispute by agreement. (Timeline = 10 business days)

Disputes that cannot be resolved by the Executive Dean are referred in writing to the Deputy Vice-Chancellor (Research) (research.integrity@utas.edu.au).

Deputy Vice-Chancellor (Research) reviews the documentation relating to authorship attribution, seeks advice as needed from an independent person with expertise in the area, and makes a determination. (Timeline = 10 business days)

Deputy Vice-Chancellor (Research) notifies co-authors of outcome. Possible outcomes may include:

- removing individuals who do not meet the authorship criteria and acknowledging their contributions, if appropriate;
- including all individuals who meet the authorship criteria;
- revising the order of authors.

Authorship dispute is managed by the institution of the corresponding author or as agreed by the co-authors.
Attachment C: Authorship dispute process (after publication)

An individual (internal or external) has concerns about the authorship of an existing publication involving a UTAS staff/student.

Concerned individual refers authorship dispute in writing to the Deputy Vice-Chancellor (Research) (research.integrity@utas.edu.au)

Deputy Vice-Chancellor (Research) considers the dispute and decides how to proceed.

Authorship dispute is managed under Section 3.4 Resolution of Authorship Disputes

Authorship dispute is progressed under the Managing Allegations of Research Misconduct Procedure*.

*An authorship dispute does not constitute research misconduct unless there has been an intentional and reckless breach of the University’s Authorship of Research Policy.