What is an Authorship Agreement?

An Authorship Agreement is a written agreement between people who qualify as an author of a research publication/output. Authorship must be based on a substantial scholarly contribution to the research output. Only those who qualify as authors are to be offered authorship and this must only be done with their written agreement. Similarly those who qualify for authorship are not to be excluded without their written agreement. Individuals whose contribution does not meet the criteria for authorship are to be appropriately acknowledged and this too should be recorded in the Authorship Agreement.

An Authorship Agreement can take many written forms including a journal’s author agreement or email correspondence between authors, provided it covers the criteria specified in the University of Tasmania Authorship of Research Policy (Authorship Policy). Although for ease, researchers may wish to use the University’s Authorship Agreement Form (attachment 1 and available from http://www.utas.edu.au/research-admin/divisional-resources/forms (Integrity and Ethics)). Typically all authors will review the final version of the research output and indicate their acceptance of it. A record of this acceptance can be considered an Authorship Agreement.

Why do I need one?

Authorship Agreements are intended to document that all collaborating authors agree on who will and will not be named as an author and the order in which their names are to appear. It is designed to help prevent disputes over authorship occurring post publication. Where disputes do arise, it will help protect the authors and aid in the assessment of the dispute.

Section 3.3 of the Authorship Policy requires all involved in the research output to document their agreement regarding authorship prior to the submission of the output for publication. Conversations about authorship should be had amongst the research team throughout the project and these conversations should be documented, either by the completion of the Authorship Agreement Form or via email.

How and when do I attach the Authorship Agreement to a publication?

University of Tasmania authors are required to store a copy of Authorship Agreements together with the relevant publication on the Web Access Research Portal (WARP). This is a two-step process:

1. To upload a copy of the agreement to the researcher’s profile on WARP. This can be done by each University of Tasmania researcher or by the corresponding author or if the corresponding author is not a University of Tasmania researcher, the responsible author.
2. Once the research output has been submitted to the publisher and uploaded to WARP, the Authorship Agreement needs to be attached to the relevant output. Office of Research Services Publication Entry System (PES) Officers can assist with this step.

Further information, including step-by-step instructions can be found at https://wikis.utas.edu.au/pages/viewpage.action?title=Authorship+Agreement+Upload&spaceKey=RS

Please note Authorship Agreements must be a single Pdf document. Authorship Agreements uploaded to WARP will be organised according to date of upload. However, as individuals may upload many Authorship Agreements to WARP over the course of their careers, it is suggested that clear naming conventions be used.

V1 December 2014
What do you mean by “substantial scholarly contribution”?  
To be named as an author, an individual must have made a substantial scholarly contribution to the work in a combination of (meaning two or more) the following:

• 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.

Do I really need to get all collaborating authors to sign a University of Tasmania Authorship Agreement?  
No. Provided that the document specifies the following the agreement can take any form:

• 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.

However, all authors whether they are University of Tasmania researchers or collaborating researchers form other institutions, must indicate their agreement to the proposed authorship of the output. Multiple different institutional agreements are not required; University of Tasmania researchers can evidence their agreement by signing the agreement of another institution the publisher.

What is the difference between the Authorship Agreement, Author Statement and Group Authorship Warrant?  
Authorship Agreements are required for all research outputs, whereas Author Statements and Group Authorship Warrants are only used in specific and narrow circumstances. An Author Statement is only required for the purposes of HERDC A1, B1, C1 and F1 outputs where the researcher has not stated their affiliation as University of Tasmania and the researcher wishes to count the output for the purpose of the University of Tasmania’s HERDC (for example, affiliation is stated as The Institute for Marine and Antarctic Studies). A Group Authorship Warrant is used to attest that the contribution of a University of Tasmania researcher in a research consortium meet the University authorship criteria with respect to the research output in question.

What support and advice is available?  
Office of Research Services PES Officers can assist with formatting the agreement, for example by converting it into pdf or combining multiple documents into a single pdf document. They can also assist with attaching the agreement to the relevant output. 

Adele Kay, Research Integrity Coordinator and the University’s Research Integrity Advisers can provide support and advice on all aspects of research integrity and the University of Tasmania Responsible Conduct of Research Framework, including the Authorship of Research Policy and Procedure and dispute resolution.
Attachment 1: University of Tasmania Authorship Agreement Form

Authorship Agreement Form

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>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*(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>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*(insert additional rows as necessary)*