1 Objective

The objective of this Procedure is to:

- provide instructions to facilitate the implementation of the Authorship components of the Australian Code for the Responsible Conduct of Research (2018) ("the Code") and inter alia the University of Tasmania’s (the University) Responsible Conduct of Research Policy.

The Policy affirms the University’s commitment to comply with Researcher Responsibilities 25 and 26 of the Code, as well as the Authorship better practice guide.

2 Scope

In all cases, this procedure outlines minimum requirements for all research conducted under the auspices of the University (as defined by the University’s Responsible Conduct of Research Policy).

3 Procedure

3.1 Attribution of Authorship

Authorship must be based on substantial scholarly contributions to the research output through a combination of at least two 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 a 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, research assistants, cultural advisors, and community co-researchers, who meet the criteria for authorship. Particular care should be taken about the appropriate recognition of the contribution of Aboriginal and Torres Strait Islander researchers and their inclusion as authors where the contribution has been substantive.

Those offered authorship must accept or decline in writing.
3.2 Multiple Authors

Collaborating researchers will 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
- the appointment of a corresponding author to take responsibility for maintaining authorship agreements and managing all correspondence about the research output.

3.3 Order of Authorship

The agreed order of authors' names in the authorship list will be consistent with any applicable disciplinary norms and requirements of the publication.

Where no such conventions exist, the order of authorship should reflect the relative contribution of the collaborating researchers. The authorship criteria specified in Section 3.1 can be used to assess the relative contribution of each author for a particular research output.

3.4 Corresponding Author

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 Section 3.1
- 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
- confirm that they are responsible for the content of the research output
- 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 will designate one University 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.

3.5 Authorship Agreement

All authors of all research outputs must provide written acknowledgement of authorship and order of authorship to the corresponding or responsible author (see Section 3.4) 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 and all authors agree 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

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

University authors will retain a copy of all documentation used for acknowledging authorship for their own records.

3.6 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.

Express permission must be obtained to acknowledge Indigenous peoples, organisations and communities.

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

3.7 Attribution of University Affiliation

Authors affiliated with the University 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’.

3.8 Subsequent Publications

Collaborating researchers should agree on the approach that will be taken for subsequent publications that arise from a research project. This should include a discussion of whether authors of the current output will be invited to collaborate on subsequent publications, and how the current output and authors will be acknowledged.

3.9 Resolution of Authorship Disputes

The following processes are summarised in the flowcharts provided in Attachments A and B at the end of these procedures.
3.9.1 Authorship disputes occurring before publication

Authors may consult with a Research Integrity Adviser 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 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. University co-authors are encouraged to seek support from their Head of Academic Unit in the event the dispute resolution is being managed by another institution.

Where the dispute cannot be resolved and involves co-authors who are all affiliated with the University, the co-authors will refer the dispute to their Associate Dean(s) of Research. The Associate Dean(s) of Research will nominate a person with the relevant expertise and seniority to determine the matter.

The nominee of the Associate Dean Research 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 College/University Institute structures the matter will be referred in writing to the Deputy Vice-Chancellor (Research) (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 Section 3.1
  - given final approval of the version to be published
- a list of all authors believed to be valid authors, and why
- 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 Section 3.1 and acknowledging their contributions, if appropriate
- including all individuals who were deemed to have met the authorship criteria as articulated in Section 3.1
- 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.

3.9.2 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.

3.9.3 Authorship disputes and breaches of the Code

An authorship dispute does not necessarily constitute a potential breach of the Code. Breaches of the Code include intentional and misleading ascription of authorship such as the inappropriate omission or inclusion of authors.

Authors who wish to make an allegation of a breach of the Code in relation to the authorship dispute will follow the University’s Managing Research Integrity and Potential Breaches of Responsible Research Conduct Procedure.

4 Definitions and Acronyms

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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>
</tr>
<tr>
<td>College</td>
<td>Means a) the primary organisational unit in the academic structure of the University, as per Ordinance 14 – Academic Structure b) the University College</td>
</tr>
<tr>
<td>Executive Dean</td>
<td>Means: a) the Executive Dean of the relevant College, or b) in relation to the University College, the Chief Executive of the University College</td>
</tr>
<tr>
<td>Head of Academic Unit</td>
<td>Means the head of the relevant Academic Unit</td>
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<tr>
<td>Organisational Unit</td>
<td>College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.</td>
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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.

University  Unless otherwise stated all references to the University mean the University of Tasmania.

WARP  Web Access Research Portal.

5 Supporting Documentation

- Freedom of Inquiry and the Responsibility to Publish Policy
- Managing Allegations of Research Misconduct Procedure
- Responsible Conduct of Research Policy
- University of Tasmania Staff Agreement 2017-2021
- *Australian Code for the Responsible Conduct of Research* (National Health and Medical Research Council, Australian Research Council, Universities Australia; 2018)

6 Versioning

Version 2 – *Authorship of Research Procedure*; minor amendments to clarify procedure approved by Responsible Officer; September 2014  
Version 3 – *Authorship of Research Procedure*; approved September 2014, amended in December 2017 to reflect College structure and nomenclature. |
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<tr>
<td>Current Version</td>
<td>Version 4 – <em>Authorship of Research Procedure</em>; approved August 2019</td>
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