

# ASSIGNMENT OF AUTHORSHIP POLICY



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## 1 PURPOSE

- 1.1 This policy outlines CQUniversity's criteria for attribution of authorship of a research output (including non-traditional research outputs) and the attribution of authorship in other documents related to research (including but not limited to), research proposals, grant applications, reports for funding agencies, tenders, patents and patent applications.

## 2 SCOPE

- 2.1 This policy applies to CQUniversity employees, students and visitors involved in the authorship of a research output.

## 3 POLICY STATEMENT

- 3.1 The University aims to uphold the highest standards of integrity and validity in the collection and reporting of research outputs affiliated to CQUniversity.
- 3.2 In implementing this policy, the right to authorship is interpreted in accordance with the [Australian Code for the Responsible Conduct of Research](#) and the University's [Code of Conduct for Research](#).

### Attribution of authorship

- 3.3 The University follows the conventions of attribution of authorship set out in [Authorship: A Guide supporting the Australian Code for the Responsible Conduct of Research](#) (the Guide).
- 3.4 The Guide states that an author is an individual who:
- has made a significant intellectual or scholarly contribution to research and its output, and
  - agrees to be listed as an author.

- 3.5 Researchers must offer authorship to all people, including research trainees, who meet the criteria for authorship listed above, and further detailed in the Guide, regardless of their affiliation or employment status.
- 3.6 Those offered authorship must accept or decline in writing.

### **Authorship arrangements**

- 3.7 The order of authorship should be a joint decision of all co-authors, and should be decided and recorded as early as possible during the project, and updated throughout the research project.
- 3.8 Authors must have a role in the research output that is sufficient for each person to be accountable for at least part of the output.
- 3.9 Seniority should not be a consideration in deciding author order.
- 3.10 A student should be the first-named author on publications arising out of their thesis where they have had a leading role in the conception and design, or analysis and interpretation of data.
- 3.11 Where there is more than one author, a corresponding author must be appointed who will be responsible for:
- managing the publication output
  - corresponding on behalf of the co-authors
  - ensuring that all contributors to the research output who meet the criteria for authorship have been invited to be attributed as an author, and those whose contributions to the research do not meet the criteria for authorship are appropriately acknowledged
  - maintaining records formalising the authorship arrangements (and any agreed changes to the authorship arrangements), and
  - maintaining records including written approval from all authors for submission of the publication, and the approvals process related to the peer review process conducted by the publisher.
- 3.12 Participation solely in the acquisition of funding or the collection of data does not justify authorship.
- 3.13 General supervision or holding a position of authority in a research group is not sufficient for authorship.
- 3.14 No person who is an author, consistent with this definition, must be excluded as an author without her or his permission in writing. This written permission must be retained by the corresponding author.
- 3.15 Where the corresponding author is not a CQUniversity employee, all University authors should keep a record of any correspondence relating to their authorship attribution on the research output.

### **Publishing conventions**

- 3.16 Substantially similar works submitted to more than one publisher should be disclosed as such to each publisher.
- 3.17 Publications which are derived from other works published at an earlier stage of the research must make appropriate reference to those earlier works.
- 3.18 Publications which include tables or figures which have been included in previous published outputs must ensure they reference any necessary copyright permissions.
- 3.19 Any individuals and organisations (external or internal) which have provided substantial resources or facilities (including funding) for the research must be appropriately acknowledged in any resultant publications.
- 3.20 Research higher degree candidates who have received Commonwealth funding support through the Research Training Program must appropriately acknowledge the Commonwealth's contribution in any publications which relate to the research project, during or after candidature.

- 3.21 Authors must ensure that publications produced as a result of research conducted at the University appropriately include an author affiliation to the University for each University author.

### **University requirements**

- 3.22 Upon acceptance for publication, the corresponding author (or otherwise, the first-named CQUniversity author) will submit a copy of the published work, together with a complete bibliographical record, to the University's online research repository.
- 3.23 Where required by a funding organisation (e.g. ARC or NHMRC) as a condition of providing funding, the responsible author must ensure that any research outputs arising from that funding are submitted to the University's online research repository or other open access repositories in alignment with any timeframes and requirements of those agencies.
- 3.24 Data relating to the research and its resultant research outputs must be stored in accordance with the University's [Research Data Management Policy and Procedure](#).

### **Authorship disputes**

- 3.25 Where researchers are unable to reach mutual agreement concerning authorship, the dispute will be referred to the corresponding author's Deputy Dean Research. Disputes involving co-authors from other institutions will be referred to the responsible officer of that institution.
- 3.26 The University is committed to fair and timely resolution of disputes about authorship.
- 3.27 Where a dispute has not been resolved within 10 days of referral, the dispute will be escalated to the Dean School of Graduate Research (for disputes involving research higher degree candidates) or the Vice-President (Research) for a final determination.
- 3.28 The corresponding author must keep records of agreement reached through direct dialogue, mediation or determination.
- 3.29 Research outputs which are submitted for publication without agreement, or prior to determination of authorship, will be treated as a breach of the Australian Code for the Responsible Conduct for Research.

### **Breaches of the Australian Code for the Responsible Conduct of Research**

- 3.30 Concerns or allegations of possible breaches of the Australian Code for the Responsible Conduct of Research will be dealt with in accordance with the procedure for dealing with breaches set out in the University's Code of Conduct for Research.
- 3.31 Breaches of the Australian Code for the Responsible Conduct of Research that relate to authorship may include (but is not limited to):
- crediting or accepting authorship to or by individuals who do not meet the criteria for authorship
  - failing to attribute authorship to individuals who do meet the criteria for authorship
  - attributing authorship to individuals without their consent,
  - making false claims about authorship in a grant application, or
  - failing to have or failing to comply with an authorship agreement.
- 3.32 In considering a potential breach of the Australian Code for the Responsible Conduct of Research the University will consider the extent to which each individual author has met their responsibilities.

## **4 RESPONSIBILITIES**

### **Compliance, monitoring and review**

- 4.1 The Vice-President (Research) is responsible for implementing, monitoring, reviewing and ensuring compliance with this policy.

- 4.2 Compliance monitoring will occur through reporting to the responsible officer by a breach of the relevant Code, legislation or policy, as required.

## Reporting

- 4.3 No additional reporting is required.

## Records management

- 4.4 Employees must manage records in accordance with the [Records Management Policy and Procedure](#). This includes retaining these records in a recognised University recordkeeping information system.
- 4.5 University records must be retained for the minimum periods specified in the relevant [Retention and Disposal Schedule](#). Before disposing of any records, approval must be sought from the Records and Privacy Team (email [records@cqu.edu.au](mailto:records@cqu.edu.au)).
- 4.6 The corresponding author must maintain authorship agreements in accordance with the requirements for records management.

## 5 DEFINITIONS

- 5.1 Terms not defined in this document may be in the University [glossary](#).

### Terms and definitions

**Corresponding author:** the author who is, as agreed by all co-authors, responsible for managing communication between the co-authors, communication with the publisher/s and maintaining records of the authorship arrangements.

**Research output:** an output which communicates or makes available the findings of research in hardcopy, electronic or other form. Examples of research outputs include journal articles, book chapters, books, conference papers, research proposals, grant applications, reports for funding agencies, tenders, patents and patent applications, performances, videos and exhibitions

## 6 RELATED LEGISLATION AND DOCUMENTS

[Australian Code for the Responsible Conduct of Research](#)

[Authorship: A Guide supporting the Australian Code for the Responsible Conduct of Research](#)

[Code of Conduct for Research](#)

[Copyright Act 1968](#) (Cwlth)

[Research Higher Degree Integrity Policy and Procedure](#)

## 7 FEEDBACK

- 7.1 Feedback about this document can be emailed to [policy@cqu.edu.au](mailto:policy@cqu.edu.au).

## 8 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
Approval Authority	Academic Board
Delegated Approval Authority	Research Committee
Advisory Committee	N/A
Required Consultation	N/A
Administrator	Vice-President (Research)
Next Review Date	30/11/2024

Approval and Amendment History	Details
Original Approval Authority and Date	Academic Board 30/03/2005
Amendment Authority and Date	Academic Board 21/08/2013; Updates to position titles 30/05/2016; Academic Board 16/11/2016; Research Committee 5/12/2018; Editorial amendment 21/04/2021; Research Committee 30/11/2021.
Notes	This document consolidated and replaced the Assignment of Authorship Policy and Assignment of Authority Principles (16/11/2016).