

ASSIGNMENT OF AUTHORSHIP POLICY



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1 PURPOSE

- 1.1 This policy outlines the criteria for authorship of a research output or other authored publication at CQUniversity.

2 SCOPE

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

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 by CQUniversity.
- 3.2 In interpreting 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](#).

Assignment of authorship

- 3.3 The University follows the conventions of attribution of authorship set out in the [Authorship Guide](#), a guide supporting the Australian Code for the Responsible Conduct of Research.
- 3.4 Authorship must be based on a substantial contribution to both of the following:
- has made a substantial intellectual contribution to a research output, and
 - is accountable for the research output.
- 3.5 Researchers must offer authorship to all people, including research trainees, who meet the criteria for authorship listed above. Those offered authorship must accept or decline in writing.

- 3.6 Participation solely in the acquisition of funding or the collection of data does not justify authorship.
- 3.7 General supervision or holding a position of authority in a research group is not sufficient for authorship.
- 3.8 All 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 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 University.

Authorship arrangements

- 3.10 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.
- 3.11 Seniority should not be a consideration in deciding author order.
- 3.12 A student should be the first-named author on all publications arising out of their thesis where they have had a leading role in the conception and design, or analysis and interpretation of data.
- 3.13 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
 - maintaining records associated with the authorship agreement (and any agreed changes to the authorship agreement), and
 - maintaining records associated with the publication.

Publishing conventions

- 3.14 Substantially similar works submitted to more than one publisher should be disclosed as such to each publisher.
- 3.15 Publications which are derived from other works published at an earlier stage of the research must make appropriate reference to those earlier works.
- 3.16 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.
- 3.17 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.
- 3.18 Authors must ensure that all publications produced as a result of research conducted at the University appropriately include an author affiliation to CQUniversity for each University author.

University requirements

- 3.19 Upon acceptance for publication the responsible author (usually the first-named CQUniversity author) should submit a copy of the published work, together with a complete bibliographical record, to the University's institutional repository within 12 months from date of publication.
- 3.20 Where required by a funding organisation (e.g. ARC or NHMRC) as a condition of providing funding, the responsible author must ensure that any publications arising from that funding are submitted to the University's publication repository or other open access repositories in alignment with the requirements of those agencies.
- 3.21 All data relating to the research and its resultant publications must be stored in accordance with the University's [Research Data Management Policy and Procedure](#).

Authorship disputes

- 3.22 The University recognises that disputes may arise concerning authorship. Where researchers are unable to reach mutual agreement to resolve such disputes, the dispute should be referred to the Deputy Dean (Research) of the corresponding author. Disputes involving co-authors of other institutions should be referred to the responsible officer of that institution.
- 3.23 The University is committed to fair and timely resolution of disputes about authorship.
- 3.24 Where a dispute has not been resolved within 10 days of referral, the dispute should be escalated to the Dean, School of Graduate Research (for disputes involving research higher degree candidates) or the Deputy Vice-Chancellor (Research) for a final determination.
- 3.25 The corresponding author must keep records of agreement reached through direct dialogue, mediation or determination.
- 3.26 Publications 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

- 3.27 Concerns or allegations of possible breaches of the Australian Code for the Responsible Conduct of Research will be dealt with in accordance to the procedure for dealing with breaches set out in the University's Code of Conduct for Research.
- 3.28 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, or
 - failing to have or failing to comply with an authorship agreement.
- 3.29 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 Deputy Vice-Chancellor (Research) is responsible for 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 University Sector Retention and Disposal Schedule on the [Queensland State Archives website](#).

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](#).

6 RELATED LEGISLATION AND DOCUMENTS

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

[Code of Conduct for Research](#)

[Copyright Act 1968](#) (Cwlth)

[Student Research Misconduct Procedure](#)

7 FEEDBACK

7.1 University staff and students may provide feedback about this document by emailing policy@cqu.edu.au.

8 APPROVAL AND REVIEW DETAILS

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