

PURPOSE

The purpose of this guideline is to provide guidance on questions of authorship, to refer to external recommendations and to provide a sample Staff-Student publication agreement.

Publication definition

For purposes of this guideline, unless otherwise stated, a “publication” can refer to either the action of publishing or the actual published work. ‘Publication’ refers to all forms of dissemination: books, book chapters, journal articles, presentations, etc.

AUTHORSHIP

1. The preferred reference for staff and students seeking general assistance and guidance on authorship matters:
 - The *International Committee of Medical Journal Editors, (ICMJE) recommendations* located at <http://www.icmje.org/> (Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly work in Medical Journals). This should be considered as the “Policy” for questions of authorship.
 - The Australian Code for the Responsible Conduct of Research located at <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>.
2. Authorship of a publication is warranted if a person makes a significant contribution to a work in at least one of the following ways:
 - conception and design of research;
 - analysis and interpretation of data;
 - drafting the publication or revising it for substantive intellectual content.
3. None of the following is sufficient on its own to justify attribution of authorship:
 - participation solely in the acquisition of funding;
 - routine collection of data;
 - general supervision or oversight of a research group or individual.
4. Authors of a publication must be able to take public responsibility for at least that part of the work that falls within their area of expertise, or – as is the convention in some disciplines – the entire paper.
 - 4.1. All authors must approve the final version of the publication.
 - 4.2. Authorship requirements also apply to collaborating staff from other institutions or companies.
5. Researchers are encouraged to discuss recognition of authorship at an early stage in the project, and where possible, to reach a decision at this stage.
 - 5.1. Researchers are also encouraged to review these arrangements periodically, especially at the request of any one of the participants.
6. The order of authors should also be discussed and recorded.
 - 6.1. While conventions differ across disciplines, the first author is generally the person who wrote and coordinated the majority of the paper, and the last author is often either

the research team leader or, in the case of a student publishing from their thesis, the principal supervisor.

7. Researchers should record and retain any initial agreement (see the appendix for a sample agreement) on recognition of authorship and any subsequent changes to that agreement.
8. Contributions that do not warrant recognition of authorship may be acknowledged in a note or other means as customary in the discipline.
9. Nothing in 1 - 8 should be construed to circumvent attributing authorship when recognition of that authorship is warranted.

SPECIAL CONSIDERATIONS WHEN CO-AUTHORS ARE STUDENTS

10. Postgraduate students are encouraged to publish and disseminate research findings.
 - 10.1. Consensus should be reached between the student and research supervisor(s) concerning authorship of publications and acknowledgement of contributions during and after candidature.
 - 10.2. Such decisions should be noted in the Research Supervision Agreement.
 - 10.3. There should be open and mutual recognition of the student's and supervisors' work arising from the research. Supervisors also gain/benefit from postgraduate students' work.
11. Particular care should be taken with students to distinguish between work that is produced for a qualification, and work that is produced for publication.
 - 11.1. Work produced for a qualification. Any work undertaken by a student as part of a qualification is the final responsibility of the student, not of a staff member. In other words, students must be the authors of their thesis or other similar work that is required for a qualification.
 - 11.2. Work produced for publication or presentation. Because supervisors normally contribute intellectually to a student's research, depending on discipline specific guidelines and conventions as acknowledged in 2.1 (a), their authorship must be recognised. Joint publication/presentation may be a warranted output from the supervisory relationship.
12. When staff and students work collaboratively on a publication/presentation, it is recommended that:
 - 12.1. Recognition of co-authorship by a supervisor is dependent upon the nature of the contribution and discipline specific conventions.
 - 12.2. The EIT staff member is normally the author who corresponds with the publisher.
 - 12.3. The postgraduate student will normally be the first author.
 - 12.4. Recommendations under 6 & 7 are followed and the Staff-Student Publication Agreement (Appendix A) is completed.

CONFLICT RESOLUTION

13. In the event of any dispute arising over recognition of authorship, the EIT Research and Innovation Centre, or delegated authority (who is not a party to the research), should in the first instance facilitate negotiation among the parties.
 - 13.1. If a dispute is not resolved, the EIT Research and Innovation Centre, or delegated authority (who is not a party to the research) will appoint an independent mediator.

Appendix A

Staff-Student Publication Agreement

Between [insert names of parties to this agreement]

Preamble

1. The purpose of this agreement is to record the shared understanding of the authors in relation to an individual publication.
2. This agreement should be completed after all relevant parties have read the Recognition of Authorship Policy.
3. Students may seek independent advice before signing this agreement. In addition to any independent parties that they consult, students can seek advice on typical practices in their discipline area from their supervisor, Head of School or Postgraduate Coordinator.
4. Research students own the copyright in their thesis, dissertation or research paper. Copyright in publications other than a thesis, dissertation or research paper, arising from supervised research, are owned by the creator(s).

AGREEMENT

Original material

1. [insert description of work for EIT qualification]

Proposed publication

2. The proposed publication is called “the work” in this agreement
3. [insert description of work for publication]

Order of author acknowledgement

4. [insert authors - in order which the names will appear in the publication, as customary in the discipline]

Vehicle of publication

5. [insert proposed place or method of publication]

Corresponding author

6. [insert name of EIT author responsible for correspondence with publisher or use sample text]
 - a. Sample text: *The authors appoint the author named below as corresponding author. They authorise the corresponding author to cede such copyright as in their discretion they determine is necessary in order to secure publication of the work.*

The authors agree

7. While they have copied from the work of each other in preparing the text for publication they have not copied from the work of other authors without proper acknowledgement in the text of the work.
8. They appoint [insert name of EIT author responsible for correspondence with publisher] as corresponding author.

[Include any other matters here – see samples below. Insert or delete as appropriate]

9. Sample text: *Subject to any copyright that the corresponding author shall cede to a publisher, copyright in the work is joint and several. That is, each author may deal with the work individually without accounting to the others.*
10. Sample text: *Subject to any limitation imposed by the publisher, any author may post the work on a database such as the Social Sciences Research Network or on any other database.*
11. Sample text: *Without being bound to do so, each author agrees to inform the others and to seek their comments before republishing the work. This clause does not derogate from the previous clause.*
12. Sample text: *If their contact addresses change they will endeavour to inform the other authors for five years from the date of this agreement.*

Signed and dated

[insert name] Signature: Date:

[insert name] Signature: Date:

[insert name] Signature: Date:

Adapted from:
 Victoria University of Wellington, Research Policy Group. (n.d.). *Recognition of authorship policy*. Retrieved from <http://www.victoria.ac.nz/documents/policy/research-policy/recognition-of-authorship-policy.pdf>

Document information – Office use only	
Document Name	Recognition of Authorship - Guideline
Document Number	AG102-2
Executive	Executive Dean Education, Humanities and Health Science
Owner	Research Manager
Developer	Research Administrator
Review Frequency	36
Last Review	27/06/2023
Next Review	27/06/2026
Related Items	Click here for Related Documents (available only in TeMahau)
Version history	22/05/2018 New Format 29/08/2018 – Updated following retirement of AG102-1 and AG102-2 28/06/2023 – Updated with minor grammatical adjustments New form, September 2023