

Monash University Policy

Policy Title	Authorship Policy
Date Effective	05-June-2013
Review Date	05-June-2016
Policy Owner	Provost and Senior Vice-President
Category	Academic Quality and Standards
Version Number	1.1
Content Enquiries	researchpolicy@adm.monash.edu
Scope	<p>All research outputs, including traditional publications, such as journal articles, books, chapters and conference papers, and equivalent forms of research output.</p> <p>All staff, including academic, adjunct and professional staff, and students on all campuses.</p>
Purpose	<p>The purpose of this policy is to:</p> <ul style="list-style-type: none"> • Clarify criteria for attribution of authorship of all research outputs contributed to by Monash University staff and students; • Ensure that appropriate steps to confirm authorship are taken prior to submission of research outputs for publication; and • Ensure that researchers appropriately attribute research outputs to 'Monash University'.
POLICY STATEMENT	

Attribution of authorship

The attribution and confirmation of authorship for every research output involving a Monash author is a necessary and important part of the pre-publication stage of each work, whether the work is single or multi-authored. The fulfilment of this requirement at Monash University involves a combination of pre-publication and post-publication steps, including:

- training and awareness-raising amongst all authors and supervisors of their responsibilities in relation to authorship;
- confirmation of authorship for all research outputs;
- maintenance of complete authorship records for all research outputs by individual authors/executive authors;
- annual monitoring of compliance.

To be named as an author, a researcher must have made a substantial scholarly contribution to the work and be able to take responsibility for at least that part of the work they contributed. While attribution of authorship depends to some extent on the discipline, in all cases authorship must be based on substantial contributions in 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.

Monash University recognises that individuals may also make significant contributions to a research output through significant or non-routine collection of data. Where this activity contributes to the intellectual shaping of a research output authorship may be appropriate.

Higher degree by research students may publish research outputs from their supervised work. In cases where their supervisor contributed to the work in a way that meets the designated authorship criteria, the supervisor has the right to become a co-author of any such works.

Sometimes the editor of a significant collective work or anthology has responsibilities analogous to those listed above for authorship - in these cases similar criteria apply to 'editor' as 'author'. However, the term editor should be applied only to a person who has played a significant role in the intellectual shaping of a publication.

Unacceptable inclusions of authorship

The following activities do not by themselves constitute a claim to authorship without substantial intellectual contribution to the work:

- Being head of department, holding other positions of authority, or personal friendship with the authors;
- Providing a routine technical contribution;
- Providing routine assistance in some aspects of the project;
- Acquisition of funding;
- General supervision of the research team;
- Providing data that has already been published or materials obtained from third parties (including the routine collation and provision of research source material).

Acknowledgement of other contributions

All those who have otherwise contributed to the research output, such as research assistants, technical writers, and research degree students have the right to be properly acknowledged.

Attribution of research output affiliation

In order that Monash University achievements and investment in research receive appropriate acknowledgement and contribute to all relevant measures of performance, Monash must be attributed as the institution of affiliation by all Monash staff and students, and by joint, conjoint and adjunct appointments where appropriate (see Authorship Procedures for details). This should be the case whenever the research was conducted at Monash University, even if an author/creator has subsequently left the institution, as the meaningful institutional support of both past and current university employers can count for some reporting purposes.

In addition to disclosing institutional affiliation and support, a publication must include information on all other sources of financial and in-kind support for the research. This meets best practice guidelines, as outlined in the *Australian Code for the Responsible Conduct of Research*, and facilitates compliance with the Australian Research Council (ARC) Open Access Policy and the National Health and Medical Research Council (NHMRC) Revised Policy on Dissemination of Research Findings, to ensure that the findings of publicly funded research are made available to the wider public as soon as possible. It is the responsibility of researchers to comply with the Open Access requirements of funding bodies.

Declaration of interests in research output

Authors must be aware that perceived or real conflicts of interest (for example, sources of funding or other commercial interests or affiliations) may interfere with the perceived integrity of research conducted at Monash University. Therefore, in the confirmation of authorship, all authors must take responsibility for declaring any potential or actual conflict of interest according to the [Conduct and Compliance Procedures - Conflict of Interest](#).

Supporting Procedures	Authorship Procedures
Responsibility for implementation	<p>Monash authors and executive authors</p> <p>Supervisors of authors</p> <p>Heads of academic units</p> <p>Higher degree by research supervisors</p> <p>Higher degree by research students</p> <p>Pro Vice-Chancellor (Research)</p> <p>Pro Vice-Chancellor (Research and Research Training)</p>
Status	Revised
Approval Body	<p>Academic Quality and Standards policies</p> <p>Name: Academic Board</p> <p>Meeting: 3/2013</p> <p>Date: 05-June-2013</p> <p>Agenda item: 11.2</p>
Endorsement Body	<p>Academic Quality and Standards policies</p> <p>Name: Monash Research Committee</p> <p>Meeting: 3/2013</p> <p>Date: 21-May-2013</p> <p>Agenda item: 6.2</p>
Definitions	<p>Author: The creator, single or joint, of any research output, who has made a substantial intellectual contribution to its creation.</p> <p>ERA: Excellence in Research for Australia, a research assessment exercise conducted by the Australian Research Council.</p> <p>Executive Author: Senior or corresponding author that is the author responsible for liaison with publishers, communication with all authors and contributors and the maintenance of all records concerning authorship.</p> <p>HERDC: Higher Education Research Data Collection, an annual count of research outputs (authored books, book chapters in edited books, peer reviewed journal articles and peer review, published conference papers) that forms part of the calculation of the Research Block Grants provided by the Australian Government to universities.</p> <p>MyRA: Malaysian Research Assessment Instrument.</p> <p>Research: the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, understandings, and applications. The university applies the definition provided in the HERDC specifications and ERA guidelines.</p> <p>Research Output: a publication, report or creative output that meets the definition of research in the HERDC and ERA guidelines.</p>

Legislation Mandating Compliance	Monash University (Vice-Chancellor) Regulations Part 5
Related Policies	Conduct and Compliance Policy Conduct and Compliance Procedures - Conflict of Interest Research Outputs Data Collection Policy Research Data Management Policy
Related Documents	Australian Code for the Responsible Conduct of Research 2007 ARC Open Access Policy NHMRC - How to put the evidence into practice: implementation and dissemination strategies Monash University Research Outputs Data Collection Handbook for Doctoral Degrees: Chapters 5, 6 and 7 Handbook for Research Master's Degrees: Chapters 5, 6 and 7 Declaration of Authorship for Theses Based or Partially Based on Conjointly Published or Unpublished Work Monash University Statement of Authorship